Miracles Fintech

KYC
KNOW YOUR CUSTOMER

ONBOARDING OF CLIENT FORM
[Trading and Demat Account]

FOR INDIVIDUAL & NON-INDIVIDUAL CLIENT
[EQUITY & COMMODITY]

Form No.:		**Date of Opening KYC:**	
Client Name:			
Client Code:		**BOID:**	
Introducer:			

Miracles Fin-tech Private Limited

INSTRUCTIONS TO THE APPLICANTS (BOs) FOR ACCOUNT OPENING:

1. Signatures can be in English or Hindi or any of the other languages contained in the 8th Schedule of the Constitution of India. Thumb impressions and signatures other than the above mentioned languages must be attested by a Magistrate or a Notary Public or a Special Executive Magistrate / Special Executive Officer under his/her official seal.
2. Signatures should be preferably in black ink.
3. Details of the Name, Address, Telephone Number(s), etc., of the Magistrate / Notary Public / Special Executive Magistrate / Special Executive Officer are to be provided in case of attestation done by them.
4. In case of additional signatures (for accounts other than individuals), separate annexures should be attached to the account opening form.
5. In case of applications containing a Power of Attorney, the relevant Power of Attorney or the self-certified copy thereof, must be lodged along with the application.
6. All correspondence / queries shall be addressed to the first / sole applicant.
7. Strike off whichever option, in the account opening form, is not applicable.

INSTRUCTIONS CHECKLIST

1. Additional documents in case of trading in derivatives segments - illustrative list:

Copy of ITR Acknowledgement	Copy of Annual Accounts
In case of salary income - Salary Slip , Copy Of Form 16	Net worth certificate
Copy of demat account holding statement	Bank account statement for last 6 months
Any other relevant documents substantiating ownership of assets.	Self declaration with relevant supporting documents

**In respect of other clients, documents as per risk management policy of the stock broker need to be provided by the client from time to time.*

2. Copy of cancelled cheque leaf/ pass book/bank statement specifying name of the constituent, MICR Code or/and IFSC Code of the bank should be submitted.
3. Demat master or recent holding statement issued by DP bearing name of the client.
4. For individuals:
   a. Stock broker has an option of doing 'in-person' verification through web camera at the branch office of the stock broker
   b. In case of non-resident clients, employees at the stock broker's local office, overseas can do in-person' verification. Further, considering the infeasibility of carrying out 'In-person' verification of the non-resident clients by the stock broker's staff, attestation of KYC documents by Notary Public, Court, Magistrate, Judge, Local Banker, Indian Embassy / Consulate General in the country where the client resides may be permitted.
5. For non-individuals:
   a. Form need to be initialized by all the authorized signatories.
   b. Copy of Board Resolution or declaration (on the letterhead) naming the persons authorized to deal in securities on behalf of company/firm/others and their specimen signatures.
6. In case of minor:
   Two KYC application forms must be filled i.e. 1) For the Guardian & 2) For the Minor *(to be signed by the guardian)*

Annexure A

MOST IMPORTANT TERMS AND CONDITIONS (MITC)
(For non-custodial settled trading accounts)

1. Your trading account has a "Unique Client Code" (UCC), different from your demat account number. Do not allow anyone (including your own stock broker, their representatives and dealers) to trade in your trading account on their own without taking specific instruction from you for your trades. Do not share your internet/ mobile trading login credentials with anyone else.
2. You are required to place collaterals as margins with the stock broker before you trade. The collateral can either be in the form of funds transfer into specified stock broker bank accounts or margin pledge of securities from your demat account. The bank accounts are listed on the stock broker website. Please do not transfer funds into any other account. The stock broker is not permitted to accept any cash from you.
3. The stock broker's Risk Management Policy provides details about how the trading limits will be given to you, and the tariff sheet provides the charges that the stock broker will levy on you.
4. All securities purchased by you will be transferred to your demat account within one working day of the payout. In case of securities purchased but not fully paid by you, the transfer of the same may be subject to limited period pledge i.e. seven trading days after the pay-out (CUSPA pledge) created in favor of the stock broker. You can view your demat account balances directly at the website of the Depositories after creating a login.
5. The stock broker is obligated to deposit all funds received from you with any of the Clearing Corporations duly allocated in your name. The stock broker is further mandated to return excess funds as per applicable norms to you at the time of quarterly/ monthly settlement. You can view the amounts allocated to you directly at the website of the Clearing Corporation(s).
6. You will get a contract note from the stock broker within 24 hours of the trade.
7. You may give a one-time Demat Debit and Pledge Instruction (DDPI) authority to your stock broker for limited access to your demat account, including transferring securities, which are sold in your account for pay-in.
8. The stock broker is expected to know your financial status and monitor your accounts accordingly. Do share all financial information (e.g. income, networth, etc.) with the stock broker as and when requested for. Kindly also keep your email Id and mobile phone details with the stock broker always updated.
9. In case of disputes with the stock broker, you can raise a grievance on the dedicated investor grievance ID of the stock broker. You can also approach the stock exchanges and/or SEBI directly.
10. Any assured/guaranteed/fixed returns schemes or any other schemes of similar nature are prohibited by law. You will not have any protection/recourse from SEBI/stock exchanges for participation in such schemes.

Sole/First Authorized Signatory

Second Authorized Signatory

Third Authorized Signatory

NAME OF STOCK BROKER/ TRADING MEMBER/CLEARING MEMBER: MIRACLES FIN-TECH PRIVATE LIMITED

Registered & Corporate Office : Office No. 502, 5th Floor, Puniska House, Near Ashok Vatika, Ambali-Bopal Road, Bodakdev, Ahmedabad – 380054, Gujarat.
Phone: +91 79 69038171/72, **Website:** www.miraclesfintech.com , **E-mail:** support@miraclesfintech.com

Registration Details:

EXCHANGES	SEGMENTS	TMID	CMID
NSE	CM, FNO	90323	NCL-M70075
MCX	FNO	57230	MCXCCL-57230
NSE	COMM	90323	*GLOBE-M50302
BSE	CM, FNO	6837	NCL-M70075

Single SEBI Registration No: INZ000313434 Dated 12th July, 2023 (Stock Broker)
Depository Participant: Miracles Fin-Tech Private Limited: 502, Puniska House, Next to One 42, Opp. Jayantilal Park BRTS Bus Stop, Ambali Road, Bodakdev, Ahemdabad, Gujarat, 380056
Phone: +91 79 69038171/72 **Email ID:** dpservices@miraclesfintech.com
SEBI Reg No.: INZ000313434 **SEBI DP Reg No.:**IN-DP-760-2024 .

Compliance Officer: Priyanka Undaviya , **Phone:** +91 79 69038171/72, **Email ID :** compliance@miraclesfintech.com
CEO: Bhavesh Patel, **Phone:** +91 79 46008688 , **Email ID:** info@miraclesfintech.com

Contact for any Grievance/Dispute: For any grievance please contact us at Investor Grievance No: +91 79 69038171/72 or you may write into us at grievances@miraclesfintech.com for Trading related queries and dpgrievances@miraclesfintech.com for Demat related queries.

	CDSL	NSDL	NSE	BSE	MCX
Email ID	complaints@cdslindia.com	relations@nsdl.com	ignse@nse.co.in	is@bseindia.com	grievance@mcxindia.com
Phone No.	1800-22-5533	+91 22 4886 7000	1800-266-0050	+91 22 22728016	+91 22 6631 8888

Further, the above documents is also made available in vernacular languages, you may download from our website: https://www.miraclesfintech.com/downloads/
NSE Website Link: https://www.nseindia.com/membership/content/complinc_trading_mem.htm or
MCX Website Link: https://www.mcxindia.com/membership/members-compliance/vernacular-language

KNOW YOUR CLIENT(KYC) APPLICATION FORM - ACCOUNT OPENING KIT

INDEX OF DOCUMENTS

Sr. No.	Name of the documents	Brief Significance of the Document	Pg No.
MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI, EXCHANGES			
1	Know Your Client or Account Opening Form	A. KYC Form - Document captures basic information about the constituent and an instruction/checklist.	3-15
		B. Document captures the additional information about Constituent relevant to Trading and Demat Account Details.	16-20
		C. Mutual fund application form	18-19
2	Rights and Obligation Documents	Document stating the Rights & Obligations of stock broker/trading member, sub-broker and client for trading on exchanges (including additional rights & obligations in case of internet/wireless technology based trading).	Separate Copy to Clients will be provided as per client's preference 39-61
3	Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the securities market.	
4	Guidance note	Document detailing do and don'ts for trading on exchange, for the education of the investors.	
5	Policy And Procedures	Document describing significant Policies and Procedures of the Stock Broker.	22
6	Tariff Sheet	Document detailing the rate\amount of brokerage and other charges levied on the client for trading on the stock	24
7	Nomination	Nomination Form for Demat and Trading.	25-27
MANDATORY DOCUMENT FOR OPENING OF DEMAT ACCOUNTS			
8	Rights & Obligation of BO & DP	Document stating the Rights & Obligations of BO & DP.	Separate Copy to Clients will be provided as per client's preference 62-63
9	Demat Tariff	Document detailing Demat Service Charges.	28
10	Terms & Conditions	Registration /Modification Form for Receiving SMS Alerts from CDSL.	29
VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER & DP			
11	Additional clauses agreed between stock broker and client.	Voluntary documents containing clauses (1-23) including running account authorization.	31
12	Demat Debit and Pledge Instruction (DDPI)	Document seeking authorization by client to the stock broker, to access the demat account of the client for specified purposes only."	34
13	HUF Declaration	HUF Declaration	35
14	FATCA Declaration	FATCA-CRS Declaration	36

CHECKLIST OF DOCUMENTS

A. Important points:

1 Self-attested copy of PAN card is mandatory for all clients.
2. Copies of all the documents submitted by the applicant should be self-attested and accompanied by original for verification. In case the original of any documents is not produced for verification, then the copies should be properly attested by entities authorized for attesting the documents, as per the below mentioned list.
3. If any proof of identity or address is in a foreign language, then translation into English is required.
4. Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
5. If correspondence & permanent address are different, then proof for both have to be submitted.
6. Sole proprietor must make the application in his individual name & capacity.
7. For non-residents and foreign nationals, (allowed to trade subject to RBI and FEMA guidelines), copy of passport / PIOCard / OCICard and overseas address proof is mandatory.
8. For foreign entities, CIN is optional; and in the absence of DIN no. for the directors, their passport copy should be given.
9. In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.
10. For opening an account with depository participant or Mutual Fund, for a minor, photocopy of the school Leaving Certificate /Mark sheet issued by Higher Secondary Board/Passport of Minor/Birth Certificate must be provided.
11. Politically Exposed Persons (PEP) are defined as individuals who are or have been entrusted with prominent public functions in a foreign country, e.g., Heads of States or of Governments, senior politicians, senior Government/judicial/ military officers, senior executives of state owned corporations, important political party officials, etc.

B. Proof of Identity (POI):

List of documents admissible as Proof of Identity:

1. PAN card with photograph. This is a mandatory requirement for all applicable except those who are specifically exempt from obtaining PAN (listed in Section D).
2. OVD: Unique Identification Number (UID) Aadhaar / Passport Voter ID card / Driving license.
3. Identity card/ document with applicant's Photo, issued by any of the following: Central/State Government and its Departments, Statutory / Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members; and Credit cards / Debit cards issued by Banks.
4. If driving license number or passport is provided as proof of identity then expiry date is to be mandatorily furnished.
5. Mention identification / reference number if 'Z – Others (any document notified by the central government)' is ticked.

C. Proof of Address (POA):

List of documents admissible as Proof of Address: (*Documents having an expiry date should be valid on the date of submission.)

1. Passport / Voters Identity Card / Ration Card / Registered Lease or Sale Agreement of Residence / Driving License/ Flat Maintenance bill / Insurance Copy.
2. Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill - Not more than 3 months old.
3. Bank Account Statement / Passbook - Not more than 3 months old.
4. Self-declaration by High Court and Supreme Court judges, giving the new address in respect of their own accounts.
5. Proof of address issued by any of the following: Bank Managers of Scheduled Commercial Banks / Scheduled Co-Operative Bank / Multinational Foreign Banks / Gazetted Officer / Notary public / Elected representatives to the Legislative Assembly / Parliament / Documents issued by any Govt. or Statutory Authority.
6. Identity card/document with address, issued by any of the following: Central / State Government and its Departments, Statutory/Regulatory Authorities, Public Sector undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities and Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members.
7. For FII / sub account, Power of Attorney given by FII / sub-account to the Custodians (which are duly notarized and/or apostiled or consularised) that gives the registered address should be taken.
8. The proof of address in the name of the spouse may be accepted.

D. Exemptions/clarification to PAN

(*Sufficient documentary evidence in support of such claims to be collected.)

1. In case of transactions undertaken on behalf of Central Government and/or State Government by officials appointed by Courts e.g. Official liquidator, Court receiver etc.
2. Investors residing in the state of Sikkim.
3. UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.
4. SIP of Mutual Funds upto Rs. 50,000/- p.a.
5. In case of institutional clients, namely, FIIs, MFs, VCFs, FVCIs, Scheduled Commercial Banks, Multilateral and Bilateral Development Financial Institutions, State Industrial Development Corporations, Insurance Companies registered with IRDA and Public Financial Institution as defined under section 4A of the Companies Act, 1956, Custodians shall verify the PAN card details with the original PAN card and provide duly certified copies of such verified PAN details to the intermediary.

E. List of people authorized to attest the documents:

1. Notary Public, Gazetted Officer, Manager of a Scheduled Commercial/ Co-operative Bank or Multinational Foreign Banks (Name, Designation & Seal should be affixed on the copy).
2. In case of NRIs, authorized officials of overseas branches of Scheduled Commercial Banks registered in India, Notary Public, Court Magistrate, Judge, Indian Embassy / Consulate General in the country where the client resides are permitted to attest the documents.

CENTRAL KYC REGISTRY | KNOW YOUR CUSTOMER (KYC) APPLICATION FORM | INDIVIDUAL

IMPORTANT INSTRUCTIONS:

A) Fields marked with '*' are mandatory fields.
B) Tick (√) wherever applicable.
C) Please fill the form in English and in BLOCK letters.
D) Please fill the date in DD-MM-YYYY format.
E) For particular section update, please tick (√) in the box section number and strike off the sections not required to be updated.
F) Please read section wise detailed guidelines/instructions at the end.
G) List of State / U.T code as per Indian Motor Vehicle Act, 1988 is available at the end.
H) List of two character ISO 3166 country codes is available at the end.
I) KYC number of applicant is mandatory for update application.
J) The 'OTP based E-KYC' check box is to be checked for accounts opened using OTP based E-KYC in non-face to face mode.

FOR OFFICE USE ONLY:
(To be filled by financial institution)

Application Type* ☐ New ☐ Update
KYC Number (Mandatory for KYC update request)
Account Type* ☐ Normal ☐ Minor ☐ Aadhaar OTP based E-KYC *(in non- face to face mode)*

☐ 1.PERSONAL DETAILS* *(Please refer instruction A at the end)*

	Prefix	First name	Middle name	Last name
Name* (Same as ID proof)				
Maiden Name				
Father / Spouse Name				
Mother Name				

Date of Birth* D D M M Y Y Y Y

Gender* ☐ M - Male ☐ F - Female ☐ T - Transgender

PAN* ☐ Form 60 furnished

Differently Abled Status : ☐ YES ☐ NO

Type of Impairment :

Percentage of Impairment :

UDID Number :

Nationality : ☐ Indian Other : _____

Residential Status : ☐ Resident Individual ☐ Non Resident Indian
☐ Foreign National ☐ Person of Indian Origin

☐ 2. PROOF OF IDENTITY AND ADDRESS* *(Please refer instruction B at the end)*

I. Certified copy of OVD or equivalent e-document of OVD or OVD obtained through digital KYC process needs to be submitted (anyone of the following OVDs)

- ☐ A- Passport Number
- ☐ B- Voter ID Card
- ☐ C- Driving Licence
- ☐ D- NAREGA Job Card
- ☐ E- National Population Register Letter
- ☐ F- Proof of Possession of Aadhaar

II. ☐ E- KYC Authentication

III. ☐ Offline verification of Aadhaar

PHOTO*

Signature / Thumb Impression

ADDRESS:

Line 1*
Line 2
Line 3 City/Town/Village*
District* Pin/Post Code* State/U.T Code* ISO 3166 Country Code*

3. CURRENT ADDRESS DETAILS *(Please refer instruction B at the end)*

☐ Same as above mentioned address (In such case address details as below need not be provided)

I. Certified copy of OVD or equivalent e-document of OVD or OVD obtained through digital KYC process needs to be submitted (anyone of the following OVDs)

- ☐ A- Passport Number
- ☐ B- Voter ID Card
- ☐ C- Driving Licence
- ☐ D- NAREGA Job Card
- ☐ E- National Population Register Letter
- ☐ F- Proof of Possession of Aadhaar

II. ☐ E- KYC Authentication

III. ☐ Offline verification of Aadhaar

IV. ☐ Deemed Proof of Address

V. ☐ Self declaration

ADDRESS:

Line 1*

Line 2

Line 3 City/Town/Village*

District* Pin/Post Code State/UT Code ISO 3166 Country Code*

4. CONTACT DETAILS (All communications will be sent on provided Mobile no. / Email-ID) (Please refer instruction **D** at the end)

Tel. (Off) – Tel. (Res) – Mobile –

Email ID

5. REMARK *(If any)*

6. APPLICANT DECLARATION

- I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am aware that I may be held liable for it.
- I/we hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address.

[Signature/Thumb Impression of Applicant]

Date: D D M M Y Y Y Y Place:

7. ATTESTATION / FOR OFFICE USE ONLY

Documents Received ☐ Certified Copies ☐ E-KYC data received from UIDAI ☐ Data received from Offline verification

☐ Digital KYC Process ☐ Equivalent e-document ☐ Video based KYC

KYC VERIFICATION CARRIED OUT BY

Date D D M M Y Y Y Y

Emp. Name

Emp. Code

Emp.Designation

Emp Branch

[Employee Signature]

INSTITUTION DETAILS

Name

Code

[Institution Stamp]

Instruction/Checklist/Guidelines for filing Individual KYC Application Form

A. Clarification / Guidelines on filling 'Personal Details' section

1. Name: The name should match the name as mentioned in the Proof of Identity submitted failing which the application is liable to be rejected.
2. One the following is mandatory: Mother's name, Spouse's name, Father's name.

B. Clarification / Guidelines on filling 'Current Address details' section

1. In case of deemed PoA such as utility bill, the document need not be uploaded on CKYCR
2. PoA to be submitted only if the submitted PoI does not have current address or address as per PoI is invalid or not in force.
3. State / U.T Code and Pin / Post Code will not be mandatory for Overseas addresses.
4. In Section 2, one of I, II, and III is to be selected. In case of online E-KYC authentication, II is to be selected.
5. In Section 3, one of I, II, III and IV is to be selected. In case of online E-KYC authentication, II is to be selected.
6. List of documents for 'Deemed Proof of Address'.

DOCUMENT CODE DESCRIPTION

01 Utility bill which is not more than two months old of any service provider (electricity, telephone, post-paid mobile phone, piped gas, water bill).

02 Property or Municipal tax receipt.

03 Pension or family pension payment orders (PPOs) issued to retired employees by Government Departments or Public Sector Undertakings, if they contain the address.

04 Letter of allotment of accommodation from employer issued by State Government or Central Government Departments, statutory or regulatory bodies, public sector undertakings, scheduled commercial banks, financial institutions and listed companies and leave and licence agreements with such employers allotting official accommodation.

7. Regulated Entity (RE) shall redact (first 8 digits) of the Aadhaar number from Aadhaar related data and documents such as proof of possession of Aadhaar, while uploading on CKYCR.
8. "Equivalent e-document" means an electronic equivalent of a document, issued by the issuing authority of such document with its valid digital signature including documents issued to the digital locker account of the client as per rule 9 of the Information Technology (Preservation and Retention of Information by Intermediaries Providing Digital locker Facilities) Rules, 2016.
9. 'Digital KYC process' has to be carried out as stipulated in the PML Rules, 2005.
10. REs may use self declaration check box where Aadhaar Authentication has been carried out successfully for a client and client wants to provide a current address, different from the address as per the identity information available in the Central identities Data Repository.

C. Clarification / Guidelines on filling 'Contact details' section

1. Please mention two-digit country code and 10 digit mobile number (eg. for Indian mobile number mention 91-9999999999).
2. Do not add '0' in the beginning of Mobile number.

D. Clarification / Guidelines on filling 'Related Person details' section

1. Provide KYC number of related person, if available.

E. Clarification on Minor

1. Guardian details are optional for minors above 10 years of age for opening of bank account only.
2. However, in case guardian details are available for minor above 10 years of age, the same (or CKYCR number of guardian) is to be uploaded.

Incase of non-individual additional document to be obtained from non-individuals, over & above the POI & POA, as mentioned below:

Types of Entity	Documentary Requirements
Corporate	● Copy of the balance sheets for the last 2 financial years (to be submitted every year). ● Copy of latest share holding pattern including list of all those holding control, either directly or indirectly, in the company in terms of SEBI takeover Regulations, duly certified by the company secretary/Whole time director/MD(to be submitted every year). ● Photograph, POI, POA, PAN and DIN numbers of whole time directors/two directors in charge of day to day operations. ● Photograph, POI, POA, PAN of individual promoters holding control - either directly or indirectly. ● Copies of the Memorandum and Articles of Association and certificate of incorporation. ● Copy of the Board Resolution for investment in securities market. ● Authorised signatories list with specimen signatures. ● Shareholding Pattern
Partnership Firm	● Copy of the balance sheets for the last 2 financial years (to be submitted every year). ● Certificate of registration (for registered partnership firms only). ● Copy of partnership deed. ● Authorised signatories list with specimen signatures. ● Photograph, POI, POA, PAN of Partners. ● Shareholding Pattern
Trust	● Copy of the balance sheets for the last 2 financial years (to be submitted every year). ● Certificate of registration (for registered trust only). ● Copy of Trust deed. ● List of trustees certified by managing trustees/CA. ● Photograph, POI, POA, PAN of Trustees.
HUF	● PAN of HUF. ● Deed of declaration of HUF/List of coparceners . ● Bank Pass Book/Bank statement in the name of HUF. ● Photograph, POI, POA, PAN of karta.
Unincorporated Association or a body of Individuals	● Proof of Existence/Constitution document. ● Resolution of Managing Body and power of Attorney granted to transact business on its behalf.
Bank / Institutional Investors	● Copy of the constitution/registration or annual report/balance sheet for the last 2 financial years. ● Authorized signatories list with specimen signatures.
Foreign Institutional Investers (FII)	● Copy of the constitution/registration or annual report/balance sheet for the last 2 financial years. ● Authorized signatories list with specimen signatures.
Army/Government Bodies	● Self-certification on letterhead. ● Authorized signatories list with specimen signatures.
Registered Society	● Copy of Registration Certificate under Societies Registration Act. ● List of Managing Committee members. ● Committee resolution for persons authorised to act as authorised signatories with specimen signatures. ● True copy of Society Rules and Bye Laws certified by the Chairman/Secretary.
FPI Category I	● FPI Certificate ● Constitution Documents ● Copy of Board Resolution (optional) ● Shareholding pattern and Ultimate Beneficiary Owners List (UBO) ● Authorized signatories list with specimen signatures.
FPI Category II	● FPI Certificate ● Constitution Documents ● Copy of Board Resolution ● Shareholding pattern and Ultimate Beneficiary Owners List (UBO) with UBO proof of identity ● Authorized signatories list with specimen signatures.

CENTRAL KYC REGISTRY | KNOW YOUR CUSTOMER (KYC) APPLICATION FORM | LEGAL ENTITY/ OTHER THAN INDIVIDUALS

IMPORTANT INSTRUCTIONS:

A) Fields marked with '*' are mandatory fields.
B) Tick (√) wherever applicable.
C) Please fill the date in DD-MM-YYYY format.
D) Please fill the form in English and in BLOCK letters.
E) KYC number of applicant is mandatory for update application.
F) List of State / U.T code as per Indian Motor Vehicle Act, 1988 is available at the end.
G) List of two character ISO 3166 country codes is available at the end.
H) Please read section wise detailed guidelines/instructions at the end
I) For particular section update, please tick (√) in the box section number and strike off the sections not required to be updated.

FOR OFFICE USE ONLY: Application Type* ☐ New ☐ Update
(To be filled by financial institution) KYC Number *(Mandatory for KYC update request)*

☐ 1. ENTITY DETAILS* (Please refer instruction **A** at the end)

☐ Name*

Entity Constitution Type* ☐ Others (Specify) Please refer instruction B at the end)

Date of Incorporation / Formation* D D M M Y Y Y Y Date of Commencement of Business D D M M Y Y Y Y

Place of Incorporation / Formation* Country of Incorporation / Formation*

TIN of Equivalent Issuing Countery

PAN* ☐ Form 60 furnished

TIN / GST Registration Number

☐ 2. PROOF OF IDENTITY (Pol)* (Please refer instruction **B** at the end)

☐ Officially valid document(s) in respect of person authorised to transact.
☐ Certificate of Incorporation / Formation ☐ Registration certificate Regn Certificate No.
☐ Memorandum and Articles of Association ☐ Partnership Deed ☐ Trust Deed
☐ Power of attorney to granted to its manager, officers or employees to transact on its behalf
☐ Resolution of Board / Managing Committee
☐ Activity Proof - 1 (for Sole Proprietorship Only) ☐ Activity Proof - 2 (for Sole Proprietorship Only)

☐ 3. ADDRESS (Please refer instruction **C** at the end)

3.1 Registered Office Address / Place of Business*

Proof of Address* ☐ Certificate of Incorporation / Formation ☐ Registration Certificate ☐ Other Document
Line 1*
Line 2*
Line 3* City / Town / Village*
District PIN / Post code State / U.T. code State / U.T. code

3.2 Local Address in India (If different from Above)*

Line 1*
Line 2*
Line 3* City / Town / Village*
District PIN / Post code State / U.T. code State / U.T. code

☐ 4. CONTACT DETAILS (All communication will be sent to mobile number/Email-ID provided may be used)(Please refer instruction **D** at the end)

Tel.(Off) Tel.(Off)
Mobile Email ID
Mobile Email ID

☐ 5. NUMBER OF RELATED PERSON ☐☐ (Please refer instruction **E** at the end)

☐ 6. REMARKS (If Any)

7. APPLICANT DECLARATION (Please refer Instruction **G** at the end))

- I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am aware that I may be held liable for it.
- I/We hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address.

[SIGNATURE / THUMB IMPRESSION]

Signature / Thumb Impression of Authorised person(s)

Date: D D M M Y Y Y Y

Place:

8. ATTESTATION / FOR OFFICE USE ONLY

Document Recieved ☐ Certified Copies ☐ Equivalent e-document

KYC VERIFICATION CARRIED OUT		KYC VERIFICATION CARRIED OUT	
Identity Verification	☐ Done Date: D D M M Y Y Y Y	Name	
Emp. Name		Code	
Emp. Code			
Emp. Designation		[INSTITUTION STAMP]	
Emp. Branch			
[EMPLOYEE SIGNATURE]			

CENTRAL KYC REGISTRY [INSTRUCTION / CHECK LIST / GUIDELINES FOR FILLING LEGAL ENTITY OTHER THAN INDIVIDUAL KYC APPLICATION FORM]

A. Certification / Guidelines for Filling Entity Details Section

1. Entity Constitution Type

A - Sole Proprietorship
B - Partnership Firm
C - HUF
D - Private Limited Company
E - Public Limited Company
F - Society
G - Association of Persons (AOP) / Body of Individuals (BOI)
H - Trust
I - Liquidator
J - Limited Liability Partnership
K - Artificial Liability Partnership
L - Public Sector Banks
M - Central/State Government Department or Agency
N - Section 8 Companies (Companies Act, 2013)
O - Artificial Jurisdical Person
P - International Organisation or Agency /Foreign Embassy or Consular Office etc.
Q - Not Categorized
R - Others
S - Foreign Portfolio Investors

2. In case of companies and partnerships, PAN of the entity is mandatory. In case of other entitites, FORM 60 may be obtained if PAN is not available.

B. Clarification / Guidelines for filling 'Proof of Identity [POI]' section.

1. Activity proof - 1 and Activity proof - 2 are applicable for accounts in case of proprietorship firms. Please refer to relevant instructions issued by the Reserve Bank of India in this regard.
2. Please refer to the relevant instructions issued by the regulator regarding applicable documents for the legal entity.
3. Certified copy of document or equivalent e-document or OVD obtained through Digital KYC process to be submitted.
4. 'Equivalent e-document' means an electronic equivalent of a document, issued by the issuing authority of such document with its valid digital signature including documents issued to the digital locker account of the client as per rule 9 of the information technology (preservation and retention of information by intermediaries providing Digital Locker facilities) rules, 2016.
5. 'Digital KYC process' has to be carried out as stipulated in the PML Rules, 2005.
6. KYC requirements for Foreign Portfolio Investers (FPIs) will be as specified by the concerned regulator from time to time.

C. Clarification / Guidelines for filling 'Proof of Address [POA]' section.

1. State / U.T Code and Pin / Post Code will not be mandatory for Overseas addresses.
2. Certified copy of document or equipment e-document to be submitted.

D. Clarification / Guidelines for filling 'Contact Details' section.

1. Please mention two digit country code and 10 digit mobile number (e.g. for Indian mobile number mention 91-9999999999).
2. Do not add '0' in the beginning of Mobile number.

E. Clarification / Guidelines for filling 'Related Person Details' section.

1. Personal Details.
   - The name should match the name as mentioned in the proof of identity submitted failing which the application is liable to be rejected.
2. Proof of Address [POA]
   - POA to be submitted only if the submitted POI does not have an address or address as per POI is invalid or not in force.
   - State / U.T Code and Pin / Post Code will not be mandatory for Overseas addresses.
   - In case of deemed POA such as utility bill, the document need not be uploaded on CKYCR
   - REs may use the Self Declaration check box where Aadhaar authentication has been carried out successfully for a client and client wants to provide a current address, different from the address as per the identity information available in the Central Identities Data Repository.
3. If KYC number of Related Person is available, no other details except 'Person Type' and 'Name of the Related Person' are required.
4. Regulated Entity (RE) shall redact (first 8 digits) of the Aadhaar number from Aadhaar related data and documents such as proof of possession of Aadhaar, while uploading on CKYCR.

F. Provision for capturing signature of multiple authorized persons is to be made by the RE.

Annexure A2 I Legal Entity I Other than Individuals

CENTRAL KYC REGISTRY I KNOW YOUR CUSTOMER (KYC) APPLICATION FORM I RELATED PERSON

IMPORTANT INSTRUCTIONS:

A) Fields marked with '*' are mandatory fields.
B) Tick (√) wherever applicable.
C) Please fill the date in DD-MM-YYYYformat.
D) Please fill the form in English and in BLOCK letters.
E) KYC number of applicant is mandatory for update application.
F) List of State / U.T code as per Indian Motor Vehicle Act, 1988 is available at the end.
G) List of two character ISO 3166 country codes is available at the end.
H) Please read section wise detailed guidelines/instructions at the end.
I) For particular section update, please tick (√) in the box available before the section number and strike off the sections not required to be updated.

FOR OFFICE USE ONLY: Application Type* ☐ New ☐ Update ☐ Delete

(To be filled by financial institution) KYC Number ☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐ (Mandatory for KYC update and delete request)

1. DETAILS OF RELATED PERSON* (Please refer instruction E at the end)

☐ Addition of Related Person ☐ Deletion of Related Person ☐ Update Related Person Details

KYC number of Related Person (if available*) ☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐ If KYC number is available, only 'Related Person Type' & 'Name' is mandatory

Related Person Type* ☐ Director ☐ Promoter ☐ Karta ☐ Trustee ☐ Partner ☐ Court Appointment Official ☐ Proprietor ☐ Beneficiary ☐ Authorised Signatory ☐ Beneficial Owner ☐ Power of Attorney Holder ☐ Other (Please specify)

DIN (Director identification Number) ☐☐☐☐☐☐☐☐ (Mandatory if Related Person Type is Director)

1.1 PERSONAL DETAILS (Please refer instruction E at the end)

	Prefix	First Name	Middle Name	Last Name
Name* (Same as ID proof)	☐☐☐	☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐	☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐	☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐
Maiden Name	☐☐☐	☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐	☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐	☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐
Father / Spouse Name	☐☐☐	☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐	☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐	☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐
Mother Name	☐☐☐	☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐	☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐	☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐

Date of Birth* ☐☐ ☐☐ ☐☐☐☐

Gender* ☐ M-Male ☐ F-Female ☐ T-Transgender

Nationality* ☐ IN-Indian ☐ Others (ISO 3166 Country Code ☐☐)

PAN* ☐☐☐☐☐☐☐☐☐☐ ☐ From 60 furnished

Differently Abled Status : ☐ YES ☐ NO

Type of Impairment : ☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐

1.3 CURRENT ADDRESS DETAILS (Please refer instruction **E** at the end)

☐ Same as above mentioned address (In such case address details as below need not be provided)

I. Certified copy of OVD or equivalent e-document of OVD or OVD obtained through digital KYC process needs to be submitted (anyone of the following OVDS)

- ☐ A- Passport Number
- ☐ B- Voter ID Card
- ☐ C- Driving Licence
- ☐ D- NAREGA Job Card
- ☐ E- National Population Register Letter
- ☐ F- Proof of Possession of Aadhaar

II. ☐ E- KYC Authentication

III. ☐ Offline verification of Aadhaar

IV. ☐ Deemed Proof of Address

V. ☐ Self declaration

ADDRESS:

Line 1*

Line 2

Line 3 City/Town/Village*

District* Pin/Post Code State/UT Code ISO 3166 Country Code*

1.4 CONTACT DETAILS (All communications will be sent on provided Mobile no. / Email-ID) (Please refer instruction **D** at the end)

Tel. (Off) – Tel. (Res) – Mobile –

Email ID

2. APPLICANT DECLARATION

- I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am aware that I may be held liable for it.
- I/we hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address.

[Signature/Thumb Impression of Applicant]

Date: D D M M Y Y Y Y Place:

3. ATTESTATION / FOR OFFICE USE ONLY

Documents Received ☐ Certified Copies ☐ E-KYC data received from UIDAI ☐ Data received from Offline verification ☐ Digital KYC Process ☐ Equivalent e-document

KYC VERIFICATION CARRIED OUT BY

Date D D M M Y Y Y Y

Emp. Name

Emp. Code

Emp.Designation

Emp Branch

[Employee Signature]

INSTITUTION DETAILS

Name

Code

[Institution Stamp]

Annexure A2 I Legal Entity I Other than Individuals

CENTRAL KYC REGISTRY I KNOW YOUR CUSTOMER (KYC) APPLICATION FORM I RELATED PERSON

IMPORTANT INSTRUCTIONS:

A) Fields marked with '*' are mandatory fields.
B) Tick (√) wherever applicable.
C) Please fill the date in DD-MM-YYYYformat.
D) Please fill the form in English and in BLOCK letters.
E) KYC number of applicant is mandatory for update application.
F) List of State / U.T code as per Indian Motor Vehicle Act, 1988 is available at the end.
G) List of two character ISO 3166 country codes is available at the end.
H) Please read section wise detailed guidelines/instructions at the end.
I) For particular section update, please tick (√) in the box available before the section number and strike off the sections not required to be updated.

FOR OFFICE USE ONLY: Application Type* ☐ New ☐ Update ☐ Delete

(To be filled by financial institution) KYC Number ☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐ (Mandatory for KYC update and delete request)

1. DETAILS OF RELATED PERSON* (Please refer instruction E at the end)

☐ Addition of Related Person ☐ Deletion of Related Person ☐ Update Related Person Details

KYC number of Related Person (if available*) ☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐ If KYC number is available, only 'Related Person Type' & 'Name' is mandatory

Related Person Type* ☐ Director ☐ Promoter ☐ Karta ☐ Trustee ☐ Partner ☐ Court Appointment Official ☐ Proprietor ☐ Beneficiary ☐ Authorised Signatory ☐ Beneficial Owner ☐ Power of Attorney Holder ☐ Other (Please specify)

DIN (Director identification Number) ☐☐☐☐☐☐☐☐ (Mandatory if Related Person Type is Director)

1.1 PERSONAL DETAILS (Please refer instruction E at the end)

	Prefix	First Name	Middle Name	Last Name
Name* (Same as ID proof)	☐☐☐	☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐	☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐	☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐
Maiden Name	☐☐☐	☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐	☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐	☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐
Father / Spouse Name	☐☐☐	☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐	☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐	☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐
Mother Name	☐☐☐	☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐	☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐	☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐

Date of Birth* D D M M Y Y Y Y

Gender* ☐ M-Male ☐ F-Female ☐ T-Transgender

Nationality* ☐ IN-Indian ☐ Others (ISO 3166 Country Code ☐☐)

PAN* ☐☐☐☐☐☐☐☐☐☐ ☐ From 60 furnished

Differently Abled Status : ☐ YES ☐ NO

Type of Impairment : ☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐

1.3 CURRENT ADDRESS DETAILS (Please refer instruction **E** at the end)

☐ Same as above mentioned address (In such case address details as below need not be provided)

I. Certified copy of OVD or equivalent e-document of OVD or OVD obtained through digital KYC process needs to be submitted (anyone of the following OVDS)

- ☐ A- Passport Number
- ☐ B- Voter ID Card
- ☐ C- Driving Licence
- ☐ D- NAREGA Job Card
- ☐ E- National Population Register Letter
- ☐ F- Proof of Possession of Aadhaar

II. ☐ E- KYC Authentication

III. ☐ Offline verification of Aadhaar

IV. ☐ Deemed Proof of Address

V. ☐ Self declaration

ADDRESS:

Line 1*

Line 2

Line 3 City/Town/Village*

District* Pin/Post Code State/UT Code ISO 3166 Country Code*

1.4 CONTACT DETAILS (All communications will be sent on provided Mobile no. / Email-ID) (Please refer instruction **D** at the end)

Tel. (Off) – Tel. (Res) – Mobile –

Email ID

2. APPLICANT DECLARATION

- I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am aware that I may be held liable for it.
- I/we hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address.

[Signature/Thumb Impression of Applicant]

Date: D D M M Y Y Y Y Place:

3. ATTESTATION / FOR OFFICE USE ONLY

Documents Received ☐ Certified Copies ☐ E-KYC data received from UIDAI ☐ Data received from Offline verification ☐ Digital KYC Process ☐ Equivalent e-document

KYC VERIFICATION CARRIED OUT BY

Date D D M M Y Y Y Y

Emp. Name

Emp. Code

Emp.Designation

Emp Branch

[Employee Signature]

INSTITUTION DETAILS

Name

Code

[Institution Stamp]

MUTUAL FUND APPLICATION FORM

Broker/Agent Code ARN: Sub-broker: EUIN

Unit Folder Information:

Name Of the First Applicant

KYC PAN Date of Birth D D M M Y Y Y Y

Father Name Mother Name

Name of Guardian PAN of Guardian

ADDRESS:

City/Town/Village

District Pin/Post Code State

Tel. (Off) – Tel. (Res) – Mobile –

Fax – Email ID

Place of Birth Occupation

TAX id No Country of Tax Residence

Income Tax Slab/Networth Mode of Holding

Politically exposed person / Related to Politically exposed person etc.? ☐ YES ☐ NO

Name Of the Second Applicant

KYC PAN Date of Birth D D M M Y Y Y Y

Father Name Mother Name

Name of Guardian PAN of Guardian

ADDRESS:

City/Town/Village

District Pin/Post Code State

Tel. (Off) – Tel. (Res) – Mobile –

Fax – Email ID

Place of Birth Occupation

TAX id No Country of Tax Residence

Income Tax Slab/Networth Mode of Holding

Politically exposed person / Related to Politically exposed person etc.? ☐ YES ☐ NO

Name Of the Third Applicant

KYC PAN Date of Birth D D M M Y Y Y Y

Father Name Mother Name

Name of Guardian PAN of Guardian

ADDRESS:

City/Town/Village

District Pin/Post Code State

Tel. (Off) – Tel. (Res) – Mobile –

Fax – Email ID

Place of Birth Occupation

TAX id No Country of Tax Residence

Income Tax Slab/Networth Mode of Holding

Politically exposed person / Related to Politically exposed person etc.? ☐ YES ☐ NO

Bank Mandate 1 Details

Name of Bank | Branch

A/C No | A/C Type

IFSC Code | MICR No

Bank Address

City | Pin/Post Code | State

Bank Mandate 2 Details

Name of Bank | Branch

A/C No | A/C Type

IFSC Code | MICR No

Bank Address

City | Pin/Post Code | State

Bank Mandate 3 Details

Name of Bank | Branch

A/C No | A/C Type

IFSC Code | MICR No

Bank Address

City | Pin/Post Code | State

Nomination Details

Nominee Name

Relationship with Nominee

Guardian Name *(if nominee is minor)*

Nominee Address

City | Pin/Post Code | State

I/We confirm that details provided by me/us are true and correct. The ARN holder has disclosed to me/us all the commission (In the form of trail commission or any other mode), payable to him for the different competing Schemes of various Mutual Fund From amongst which the scheme is being recommended to me/us.

Place: _____

Date: D D M M Y Y Y Y

	First Applicant	Second Applicant	Third Applicant
Name			
Signature			

ADDITIONAL KYC FORM FOR OPENING TRADING AND DEMAT ACCOUNT

Please fill in English and in BLOCK letters.

A. DETAILS (To be filled by the Depository Participant)

Application Form No._____ Date: D D M M Y Y Y Y

DP Internal Reference No ☐☐☐☐ DP ID ☐☐☐☐☐☐☐☐ Client ID ☐☐☐☐☐☐☐☐

B. HOLDER DETAILS

I/We request you to open a demat account in my/our name as per following details

Sole/First Holder's Name		Search Name		PAN	
				UID	
				UCC	
				Exchange Name & ID	
Second Holder's Name				PAN	
				UID	
Third Holder's Name				PAN	
				UID	

Name * _____

* In case of firms, Association pf Persons (AOP), Partnership Firm, Unregistered Trust etc., although the account is opened in the name of the natural persons, the name of the firm, Association of persons (AOP), Partnership Firm, Unregistered Trust etc., should be mentioned above.

C. TYPE OF ACCOUNT *(Please tick whichever is applicable in case of individual)*

Status	Sub-Status	
☐ Individual	☐ Individual Resident ☐ Individual Director's Relative ☐ Individual Promoter ☐ Individual Margin Trading A/c (MANTRA)	☐ Individual Director ☐ Individual HUF/AOP ☐ Minor ☐ Other *(specify)* _____
☐ NRI	☐ NRI Repatriable ☐ NRI Repatriable Promoter ☐ NRI - Depository Receipt	☐ NRI Non - Repatriable ☐ NRI Non - Repatriable Promoter ☐ Other *(specify)* _____
☐ Foreign National	☐ Foreign National ☐ Foreign National - Depository Receipt	☐ Other *(specify)* _____

D. TYPE OF ACCOUNT AND OTHER DETAILS *(Please tick whichever is applicable in case of non-individual)*

Status			Sub-Status
☐ Body Corporate ☐ Banks ☐ Trust ☐ Mutual Fund ☐ OCB ☐ FII ☐ CM ☐ FI ☐ Clearing House ☐ Others (Specify)			
SEBI Registration No. (If Applicable)		SEBI Registration Date.	D D M M Y Y Y Y
RBI Registration No. (If Applicable)		RBI Approval Date.	D D M M Y Y Y Y
Nationality	☐ Indian ☐ Others (Specify) _____		

Clearing Member Details *(To be filled by CMs only)*:

Name of Stock Exchange			
Name of CC / CH			
Clearing Member ID		Trading Member ID	

MODE OF OPERATION FOR EXECUTION OF TRANSACTIONS *(Transfer, Pledge & Freeze)* ☐ Jointly ☐ Any one of the Holder

Consent for Communication to be received by first account holder / all Account Holder :- (Tick the applicable box) If not marked the default option would be First Holder. ☐ First Holder ☐ All account Holder

First Holder Email ID	Second Holder Email ID	Third Holder Email ID	All Holder Email ID

E. BANK ACCOUNT(S) DETAILS *[For payout of funds through NEFT/RTGS] - (Dividend Bank details)*

MICR Code (09 Digit)				
IFSC Code (11 Character)				
Account Number				
Account type	☐ Saving	☐ Current	☐ Others (In case of NRI/NRE/NRO)	
Bank Name				
Branch Name				
Bank Branch Address				
	City:	State:	Country:	Pincode:

i. Photocopy of the cancelled cheque having the name of the account holder where the cheque book is issued, or
ii. Photocopy of the Bank Statement having name and address of the BO
iii. Photocopy of the Passbook having name and address of the BO. (or)

F. STANDING INSTRUCTIONS / ADDITIONAL DETAILS: (Please select one)

ch should be present/mentioned on the document.]

To receive Contract Note, Statement of Fund & Securities, Retention & Margin Statement, CAS, etc...		☐ Electronically ☐ Physically
I/We wish to avail facility of Internet Trading (IT) & Wireless Technology (WT)		☐ IT ☐ WT ☐ Both
I/We wish to receive Rights & Obligations, RDD, Guidance Note, Policies & Procedures		☐ Electronically ☐ Physically
I/We wish to receive dividend / interest to my bank account stated in KYC via ECS (If not marked, the default option would be "Yes") [ECS is mandatory for locations notified by SEBI from time to time.]		☐ YES ☐ NO
I/We instruct the DP to receive each and every credit in my / our account (If not marked, the default option would be "Yes")		[Automatic Credit] ☐ YES ☐ NO
I/We would like to instruct the DP to accept all the pledge instructions in my/our account without any other further instruction from my/our end (If not marked, the default option would be "No")		☐ YES ☐ NO
Settlement of a Client	☐ Once in a Month ☐ Once in a Quarter	
Account Statement Requirement	☐ As per SEBI Regulation ☐ Daily ☐ Fortnightly ☐ Weekly ☐ Monthly	
I/We request you to send Electronic Transaction-cum-Holding statement at the email id _____		☐ YES ☐ NO
I/We would like to share Email id with RTA		☐ YES ☐ NO
Receive Annual Statement		☐ Electronic ☐ Physical ☐ Both
I/We would like to receive Annual Report ☐ Physical / ☐ Electronic / ☐ Both Physical and Electronic (Tick the Applicable box. if not marked the default option would be Physical)		
To opt for BSDA facility		☐ YES ☐ NO
Trading Terminal Require *(Levied Applicable Charge)*		☐ YES ☐ NO
Easi	To register for easi, please visit website www.cdslindia.com, where BO can view ISIN balances, transactions & value of portfolio online.	☐ YES ☐ NO
SMS Alert Facility Refer to Terms & Conditions given as Annexure-2.4	MOBILE NO. +91 ☐☐☐☐☐☐☐☐☐☐ [Mandatory, if you are giving Power of Attorney (POA)]. (If POA is not granted & you do not wish to avail of this facility, cancel this option.)	☐ YES ☐ NO
For Commodity Transaction:	Purpose of Trading: ☐ Speculation ☐ Hedging ☐ Day Trading ☐ Jobbing/Arbiteage	
	Nature of Business Relationship: ☐ Speculative ☐ Hedger ☐ Day Trader ☐ Jobber/Arbitrager	
(For Non- Individuals) Whether Entity Involved In	For Foreign Exchange / Money Charger Service	☐ YES ☐ NO
	Gaming / Gambling / Lottery Service (e.g. casinos, betting syndicates)	☐ YES ☐ NO

G. DEPOSITORY ACCOUNT(S) DETAILS

DP Name	
Depository Name	☐ CDSL ☐ NSDL
Beneficiary Name	
DP ID	
BO Client ID	

H. OPTION FOR ISSUE OF DELIVERY INSTRUCTION BOOKLET (DIS BOOKLET) *(Mandatory to select any one option)*

Kindly confirm the manner of receiving DIS booklet.

☐ **Option 1:** I / We require you to issue Delivery Instruction Slip (DIS) booklet to me / us immediately on opening of my / our CDSL account though I / we have issued a Power of Attorney (POA) / Demat Debit and Pledge Instructions (DDPI) / registered for eDIS / executed PMS agreement in favour of / with MIRACLES FIN-TECH PRIVATE LIMITED for executing delivery instructions for settling stock exchange trades [settlement related transactions] effected through such DDPI/POA holder -Clearing Member / by PMS manager/ for executing delivery instructions through eDIS.

☐ **Option 2:** I / We do not require the Delivery Instruction Slip (DIS) booklet for the time being, since I / We have issued a POA/ Demat Debit and Pledge Instructions (DDPI) / registered for eDIS / executed PMS agreement in favour of / with MIRACLES FIN-TECH PRIVATE LIMITED for executing delivery instructions for settling stock exchange trades [settlement related transactions] effected through such DDPI/ POA Holder - Clearing Member / by PMS manager or for executing delivery instructions through eDIS. However, the Delivery Instruction Slip (DIS) booklet should be issued to me / us immediately on my / our request at any later date.

I. INTRODUCER DETAILS (Optional)

Name of the Introducer	Surname	Name	Middle Name
Status of the Introducer	☐ Authorized Person ☐ Employee	☐ Existing Client ☐ Others _____	☐ Remisier
Address and Tel. No. of the Introducer			
Signature of Introducer	_____		

J. PAST ACTIONS

Details of any action/proceedings initiated/pending/ taken by SEBI/ Stock exchange/ any other authority against the applicant/constituent or its Partners/promoters/whole time directors/authorized persons in charge of dealing in securities during the last 3 years: ☐ Yes ☐ No If Yes _____

K. DEALINGS THROUGH OTHER STOCK BROKER

Whether dealing with any other stock broker *(if case dealing with multiple stock brokers, provide details of all)*	
Name of stock broker:	
Client Code:	Exchange:
Details of disputes/dues pending from/to such stock broker:	

L. CONSENT LETTER TO UPDATE MOBILE NUMBER AND EMAIL ID IN DEMAT AND TRADING ACCOUNTS

Pursuant to SEBI circular bearing Ref. CIR/MIRSD/15/2011 dated August 2, 2011, please note that the mobile number and e-mail ID mentioned by me in the KYC/KRA/CKYC form belongs to

Mobile No. ☐	My Self ☐	Spouse ☐	Son/Daughter ☐	Father/ Mother ☐	Not Available ☐
Email ID. ☐	My Self ☐	Spouse ☐	Son/Daughter ☐	Father/ Mother ☐	Not Available ☐

Name of the person (Mobile): _____

Name of the person (Email): _____

M. TRADING PREFERENCES

Please sign in the relevant boxes where you wish to trade. Please strike off the segment not chosen by you.

Exchanges	NSE, BSE & MSEI				MCX, ~~NCDEX, BSE & NSE~~
Segment	Cash/Mutual Fund	F & O	~~Currency~~	Debt	Commodity Derivatives

If you do not wish to trade in any of segments/Mutual Fund, Please mention here _____

N. DETAILS OF GUARDIAN *(Incase of account holder in minor)*

Guardian's Name	First Name	Middle Name	Last Name/Surname
Relationship with applicant		PAN	
Any other information			

O. FATCA-CRS DECLARATION & SUPPLEMENTARY KYC INFORMATION

Gross Annual Income	☐ Below 1 Lac ☐ 1-5 Lac ☐ 5-10 Lacs ☐ 10-25 Lacs ☐ 25 Lac-1 Cr ☐ >1 Cr Net Worth: Rs. _____ On Date: D D M M Y Y Y Y *(Net Worth should not be older than 1 year)*		
Occupation *(Select One)*	☐ Private Sector ☐ Public Sector ☐ Government Service ☐ Business ☐ Student ☐ Professional ☐ Home Maker ☐ Retired ☐ Agriculturist ☐ Forex Dealer ☐ Other _____		
Investment / Trading Experience	Stocks : ☐ Years	Derivatives ☐ Years	Other Investment Field ☐ Years
Please tick if any of the individual's or authorized signatories/Promoters/Karta/Trustees/ Whole Time Directors is either Politically Exposed Person(PEP) or Related to Politically Exposed Person(RPEP).	☐ Yes ☐ No ☐ None *(If Yes, Please provide details as under.)*		
Name of Holder		PAN of Holder	

Sr. No.	Name of the Authorized signatures / Promoters / Partners / Karta / Trustee / Whole Time Directors.	Relationship with the holder (i.e.) Promoters, Whole Time Directors etc.	Please tick the relevant option
			☐ PEP ☐ RPEP
			☐ PEP ☐ RPEP
			☐ PEP ☐ RPEP

GST Registration No.		GST Location	

Are you a tax resident (i.e. are you assessed for tax) in any other country other than India? ☐ Yes ☐ No

If "Yes", please fill for all countries (other than India) in which you are a Resident for tax purpose
i.e. where you are a Citizen / Resident / Green Card Holder / Tax Resident in the respective countries.

Sr. No.	Country of Tax Residency	Tax Identification Number (TIN) or Functional Equivalent	Identification Type *[TIN or Other please specify]*	If TIN is not available, please tick☑ the reason A, B or C
1				→ Reason A ☐ B ☐ C ☐
2				→ Reason A ☐ B ☐ C ☐

- *Reason A → Country where the Account Holder is liable to pay tax does not issue TIN residents.*
- *Reason B → No TIN required [Select this reason only if the authorities of the respective country of tax residence do not required the TIN to be collected]*
- *Reason C → Others - Please specify the reasons* _____

DECLARATION

I acknowledge and confirm that the information provided above is true and correct to the best of my knowledge and belief. In case any of the above specified information is found to be false or untrue or misleading or misrepresenting, I am aware that I may be liable for it. I hereby authorize you to disclose, share, rely, remit in any form, mode or manner, all / any of the information provided by me; including all changes, updates to such information as and when provided by me to / any of the Exchanges/Depositories / Mutual Fund, its Sponsor, Asset Management Company, trustees, their employees / RTAs (the Authorized Parties) or any Indian or foreign governmental or statutory or judicial authorities / agencies including but not limited to the Financial Intelligence Unit-India (FIU-IND), the tax/revenue authorities in India or outside India wherever it is legally required and other investigation agencies without any obligation of advising me of the same. Further, I authorize to share the given information to other SEBI Registered Intermediaries or any regulated intermediaries registered with SEBI / RBI / IRDA / PFRDA to facilitate single submission / update & for other relevant purposes. I also undertake to keep you informed in writing about any changes / modification to the above information in future within 30 days of change and also undertake to provide any other additional information as may be required at your end or by domestic or overseas regulators/ tax authorities. I/we authorize you to provide relevant information to upstream payors to enable withholding to occur and pay out any sums from my account or close or suspend my account(s) without any obligation of advising me of the same. I understand that you do not offer any tax advice on CRS/FATCA or its impact on me/us. I/we shall seek advice from Professional Tax Advisor for any tax questions.

	First/Sole Holder	Second Holder	Third Holder
Name			
Signature			

What is FATCA / CRS?

The U.S. government introduced the Foreign Account Tax Compliance Act, 2010 (FATCA) for obtaining information on accounts held by U.S. taxpayers in other countries. Further, Organization for Economic Co-operation & Development (OECD) and G20 countries agreed for automatic exchange of information through Common Reporting Standards (CRS). The Government of India has signed an Inter-Government Agreement (IGA) with US and has also joined the Multilateral Competent Authority agreement (MCAA) for automatic sharing of information with member countries of OECD and G20. By virtue of India signing an IGA with US and joining MCAA, Indian financial institutions will have to provide the required financial information to Indian tax authorities which in turn would forward reportable information to US IRS and member countries of OECD and G20 countries.

In order to implement FATCA and CRS norms in India, Miracles Fin-tech Private Limited is required to implement procedures to identify U.S. account holders or other jurisdictions reportable accounts, perform due diligence and obtain documentary evidence wherever required and report details of such accounts to relevant tax authority.

US Person means -In case of individuals, U.S. person means a citizen or resident of the United States. Persons who would qualify as U.S. persons could be born in United States, born outside the United States of a US parent, Naturalized citizens, Green Card Holders, tax residents.

Who is Reportable Person (Non US) under Common Reportable Standards (CRS)?Under Common Reportable Standards (CRS), reportable person means Tax residents of a reportable foreign jurisdiction other than U.S.

[Please note the above information is provided only for quick reference to customers. You are requested to consult a legal/ tax advisor if in doubt.]

Documents to be collected if Customer's Country of birth is U.S. but declare that he/ she are not a U.S. person

Certificate of relinquishment of citizenship (Loss of nationality certificate); OR

Self certification for stating reasons for not having such a certificate despite relinquishment U.S. citizenship; ORSelf certification for stating reasons for not obtaining U.S. citizenship at birth.not offer any tax advice on CRS/FATCA or its impact on me/us. I/we shall seek advice from Professional Tax Advisor for any tax questions.

DECLARATION(S)

PURSUANT TO SEBI CIRCULAR SEBI/HO/CDMRD/DNP MP/CIR/2019/08 DATED 04 TH JANUARY,2019:

COMMODITIES	CODE	COMMODITIES	CODE	COMMODITIES	CODE	COMMODITIES	CODE
Aluminium		Silver		Brass		Cardamom	
Castorseed		Copper		Cotton		Crupalmoil	
Crude oil		Gold		Lead		Menthaoil	
Natural Gas		Nickel		Pepper		Rbdpalmoil	
Kapas		Mcxbulldex		Mcxmetldex		Zinc	
Rubber						All Commodities	

Category wise Code: 1. FPO/Farmers 2. Value Chain Participants 3. Proprietary Traders(Only for Registered Stock/Commodity) brokers 4. Domestic Financial Institutional Investors 5. Foreign Participants 6. Other

- In case no trading in commodities write "NA"

FOR TRADING ACCOUNT:

1. I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/we undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/we are aware that I/we may be held liable for it.
2. I/We confirm having read/been explained and understood the contents of the document on policy and procedures of the stock broker and the tariff sheet.
3. I/We further confirm having read and understood the contents of the 'Rights and Obligations' document(s) and 'Risk Disclosure Document'. I/We do hereby agree to be bound by such provisions as outlined in these documents. I/We have also been informed that the standard set of documents has been displayed for Information at www.miraclesfintech.com

FOR DEMAT ACCOUNT:

I/We have received and read the document of 'Rights and Obligation of BO-DP' including the schedules thereto and the terms & conditions and agree to abide by and be bound by the same and by the Bye Laws as are in force from time to time. I / We declare that the particulars given by me/us above are true and to the best of my/our knowledge as on the date of making this application. I/We further agree that any false / misleading information given by me / us or suppression of any material information will render my account liable for termination and suitable action.

Place: _____

Date: D D M M Y Y Y Y

Sole/First Authorized Signatory	Second Authorized Signatory	Third Authorized Signatory
Name	Name	Name
Designation	Designation	Designation

DOWNLOAD CONSENT FORM

Dear Sir/Madam

I, _____ [Name of the customer] S/o / D/o / W/o, _____ [Father's /Mother's/Spouse Name]

give my consent to download my KYC Records from the Central KYC Registry (CKYCR), only for the purpose of verification of my identity and address from the database of CKYCR Registry.

I understand that my KYC Record includes my KYC Records /Personal information such as my name, address, date of birth, PAN number etc.

Signature: [customer signature]

Date: D D M M Y Y Y Y

DEALING THROUGH AUTHORISED PERSON (AP) AND OTHER STOCK BROKERS	
If client is dealing through the Authorised Person, provide the following details:	☐ YES ☐ NO
AP Name:	AP Registration number:
Registered office address:	
Whether dealing with any other stock broker/AP *(If case dealing with multiple stocks, provide details of all)*	
Name of stock broker:	Name of AP, *(If any):*
Client Code:	Exchange:
Details of disputes/dues pending from/to such stock broker/AP	

Sole/First Authorized Signatory
Name

Second Authorized Signatory
Name

Third Authorized Signatory
Name

ELECTRONIC CONTRACT NOTE (ECN) DECLARATION (VOLUNTARY)

I, _____ a client with Member Miracles Fin-tech Private Limited of NSE, BSE, undertake as follows.

A. I am aware that the Member has to provide physical contract note in respect of all the trades placed by me unless I myself want the same in the electronic form.
B. I am aware that the member has to provide electronic contract note for my convenience on my request only. Through the Member is required to deliver physical contract note, I find that it is inconvenient for me to receive physical contract notes, Therefore, I am voluntarily requesting for delivery of electronic contract note pertaining to all the trades carried out / ordered by me.
C. I have access to a computer and am a regular internet user, having sufficient knowledge of handling the email operations.
D. My email id is * .____ This has been created by me and not by someone else.
E. I am aware that this declaration form should be in English or in any other language know to me. I am aware that non-receipt of bounced mail notification by the member shall amount to delivery of the contract note at the above e-mail ID.

The above declaration and the guidelines on ECN given in the Annexure have been read and understood by me.I am aware of the risk involved in dispensing with the physical contract note, and do hereby take full responsibility for the same.
[The above declaration has been read and understood by me. I am aware of the risk involved in dispensing with the physical contract note, and do hereby take full responsibility for the same]
**(The email id must be written in own handwriting of the client.)*

Place: _____

Date: D D M M Y Y Y Y

FOR OFFICE USE ONLY

UCC Code allotted to the client: _____

	Documents verified with originals	Client interviewed by	In-person verification done by
Name of the employee			
Employee code			
Designation of the employee			
Date			
Signature			

I/We undertake that we have made the client aware of 'Policy and Procedures' tariff sheet and all the non-mandatory documents. I/We have also made the client aware of 'Rights and Obligations' document(s), RDD and Guidance Note. I/We have given/sent him a copy of all the KYC documents. I/We undertake that any change in the 'Policy and Procedures', tariff sheet and all the non-mandatory documents would be duly intimated to the clients. I/We also undertake that any change in the 'Rights and Obligations' and RDD would be made available on my/our website, if any, for the information of the clients.

1. REFUSAL OF ORDERS FOR PENNY STOCKS

MFPL reserves the right to, at its sole discretion and without prior notice, impose restrictions or refuse a client's ability to place orders or engage in trading activities involving penny stocks or other specified stocks/contracts (which may not necessarily be penny stocks, including but not limited to stocks subject to surveillance measures by exchanges) based on prevailing market conditions and risk containment considerations. The client shall assume full responsibility for any losses resulting from such restrictions or refusals.

2. SETTING UP CLIENT'S EXPOSURE LIMITS

MFPL has established its own Risk Management System (RMS) policy. Client limits are determined based on this policy and the margins paid, following MFPL's specified procedures, which may change over time. These limits are subject to adjustments, both increases and decreases, at the discretion of MFPL, the Exchange, SEBI, or the Clearing Corporation, as deemed necessary. MFPL may periodically impose and modify various limits on the orders that clients can execute through the stockbroker's trading system. These limits include exposure limits, turnover limits, purchase/sell limits, mark-to-market loss limits, as well as limits on the quantity, value, and types of securities for which orders can be placed, among others.

Clients acknowledge and agree that MFPL may need to swiftly modify or reduce limits, or introduce new limits, based on MFPL's assessment of risk and other relevant factors. MFPL may not always be able to inform clients of such changes in advance. Clients also acknowledge that MFPL is not accountable for these variations, reductions, or new limit impositions. MFPL retains the authority to establish varying trading limits for different clients, contingent upon its evaluation of their creditworthiness, integrity, and past conduct.

3. APPLICABLE BROKERAGE RATE

The brokerage fees will be determined by MFPL and shall be applied to the client as per the rates agreed upon in the KYC at the time of registration of client and/or subsequently through a written document. These fees may be calculated as a percentage of the trade's value, a flat rate, or by other means, all within the regulatory limits set by SEBI/EXCHANGE. The brokerage charges are subject to periodic review and may be reduced without prior written notice to the client. However, any increase in brokerage fees will only occur after notifying the client. Please note that brokerage charges do not include additional fees, charges, levies, or taxes.

4. IMPOSITION OF PENALTY/DELAYED PAYMENT CHARGES

As a policy, MFPL does not offer financial support or funding facilities.

In adherence to exchange bye laws, MFPL must meet specific financial obligations, including making fund payments and arranging securities delivery within specified timeframes, maintaining adequate upfront margins with the exchanges to avail trading exposure. Failure to maintain the prescribed cash-to-collateral ratio by exchanges may result in interest charges. MFPL will transfer penalties or fines imposed by regulatory authorities due to client activities, and may levy delay penalties, not exceeding 2% per month plus GST, for client delays in meeting pay-in obligations, which will be applicable from the pay-in deadline date until relevant dues are realized. The delay payment charges are applicable irrespective of any credits in any other family or group accounts. Clients acknowledge and agree that MFPL is not obliged to pay any interest on credit balances, up-front margins, or any other amounts held in the client's account.

5. LIQUIDATION/CLOSE-OUT OF POSITIONS

Subject to MFPL's other rights (including the option to refer the matter to arbitration), MFPL may, upon prior notification to the client, liquidate or close out any or all of the client's positions due to non-payment of margins, unsettled obligations, outstanding debts, and similar matters. The proceeds from such liquidation or closeout, if any, will be adjusted against the client's liabilities and obligations. All losses and financial charges resulting from such liquidation or closeout will be the responsibility of the client. Furthermore, the compulsory liquidation of shares held in the Client Unpaid Securities Account will be subject to SEBI and Exchange Circulars, guided by MFPL's risk Management Policy. The client must settle outstanding obligations by the 5th Trading Day from the Pay-out cut-off time at 2.15 pm. Failure to make the required payment by this deadline will lead to the discretionary liquidation of the client's shares by MFPL to recover the outstanding debit and thereafter remaining shares, if any, shall be returned to the client

6. INTERNAL SHORTAGE FOR EQUITY

In case of purchase of securities by the Client, at times Member may be unable to deliver the securities to the said purchaser on the pay-out day due to non-receipt of the said securities from another Client of Member who has sold the securities against the said purchase transaction. In such cases, member may buy the shares from the market on T+ 1 day or on settlement day and deliver the same to the client or he may give close out at the rate as determined by the member.

7. INTERNAL SHORTAGE FOR COMMODITY

Member shall not be obliged to deliver any commodities or pay any money to the client until the same has been received by the Member from the Exchange, the clearing corporation/clearing house.

Clients are required to make Commodities/Funds pay-in on or before Settlement day. In case of default in pay-in by the client and the shortage is at member level i.e. internal shortage, a penalty as applicable from time to time (not exceeding the percentage prescribed by the exchange for auctioned trades), will be imposed on the defaulting client and the benefit will be passed on to the respective beneficiary client.

8. RESTRICTIONS/PROHIBITION TO TAKE FURTHER POSITION OR CLOSING EXISTING POSITION:

MFPL reserves the exclusive right to either prohibit the client from opening additional positions or to terminate existing client positions under certain circumstances. These circumstances may include restrictions related to trading volume, outstanding business, or margins as set forth by the exchange, Clearing Corporation, clearing house, and/or MFPL. Additionally, such actions may be taken in response to any extraordinary events that justify such restrictions. The client voluntarily relinquishes any and all claims for losses or damages, whether arising directly or indirectly from these restrictions.

9. TEMPORARY SUSPENSION/CLOSURE AT CLIENTS REQUEST

Upon receiving a written request from the client, their account can be temporarily suspended, and it will only be reactivated upon receiving a written request from the client. However, share or ledger balance settlements for the client can still be carried out during this period. Additionally, if the client submits a written request, their account can be permanently closed.

It's important to note that any temporary suspension or closure of the trading account will not impact the rights and obligations that were incurred before the suspension or closure. MFPL will not process any request for temporary suspension or closure unless all outstanding dues from the client are settled.

10. DE-REGISTERING A CLIENT:

MFPL retains the unilateral authority to unregister a client's account and immediately terminate services in order to safeguard its interests. These interests may encompass, but are not limited to, the following situations:

1. When MFPL is legally compelled to do so.
2. If the client's account remains dormant for an extended period.
3. When MFPL has reasonable grounds to suspect fraudulent activity associated with the account.
4. When there is a valid concern that the client may be incapable of meeting their financial obligations, whether expressed in writing or verbally.
5. Any other reason deemed reasonable by MFPL for account deregistration.

The client willingly relinquishes any and all claims for losses or damages arising, whether directly or indirectly, from such account deregistration. It's important to note that deregistration will not absolve the client of any liabilities resulting directly or indirectly from transactions conducted at any time prior to the deregistration.

11. MARKING INACTIVE CLIENT ACCOUNT

A client's trading account will be flagged as 'Inactive' in the UCC database across all exchanges if the client has not undertaken any of the following activities since last 24 months: (a)Trading or participation in OFS/Buy-back/Open Offer in any exchange segment (Equity, Derivatives, Currency, Commodities, Bonds, etc.)(b)Transactions related to investments in IPOs (successful bids), SGBs, or Mutual Funds (lump sum/SIP) via the stock exchange(s).(c)Modification/updation of registered contact details (Email ID, Mobile, Address) in KYC records, updated with KRA.

12. REACTIVATION OF INACTIVE ACCOUNTS:

To reactivate the account, clients must comply with the following:(a)In-Person Verification (IPV) or Video In-Person Verification (VIPV) as per SEBI KYC norms, (b)confirmation or updation of personal details such as address, mobile number, email ID, bank/DP account, financial information, etc and any changes must be updated in UCC and KRA records. If the KRA status is not validated/registered, the client must provide necessary documents for KRA validation before permitting client trading. Upon reactivation, the 24-month inactivity period resets from the reactivation date. Additionally, clients must undergo Periodic Re-KYC and comply with PMLA guidelines as mandated by regulatory authorities.

13. POLICY TO FREEZE/BLOCK THE TRADING ACCOUNT

Clients may voluntarily freeze/block and unfreeze/unblock their online trading accounts due to suspicious activities. Clients can request account freezing/blocking via email from their registered email ID, SMS from their registered mobile number, our App/website, physical request letter at our branch or HO, or any other legally verifiable mechanism. Dedicated email ID for such requests is stoptrade@miraclesfintech.com. Upon receiving a request, we shall validate it through registered contact details or 2-Factor Authentication, issue an acknowledgement, and freeze/block the account within 15 minutes during trading hours or before the next session if received after hours, while simultaneously cancelling all pending orders. Post-freezing, we shall notify clients via registered mobile number and/or email, providing details of open positions and contract expiry information within one hour. We shall maintain logs of all requests, confirmations, and communications. We are accountable for any trades executed between the time of request receipt and account freezing/blocking if not completed within the prescribed timeline. To unfreeze/unblock an account, upon receipt of request, we shall conduct due diligence, validate the request, and restore access after verification. Freezing/blocking restricts online access but does not impact Risk Management activities or mark the client's UCC as inactive in Exchange records.

Sole/First Authorized Signatory | Second Authorized Signatory | Third Authorized Signatory

BROKERAGE TARIFF SHEET

	Cash Segment		F&O Future		Commodity Future		F&O Option		Commodity Option	
	Min (Paise)	Max (%)	Min (Paise)	Max (%)	Min (Paise)	Max (%)	% on Premium	Min Per Lot	% on Premium	Min Per Lot
Trading 1st Leg										
Trading 2nd Leg										
Delivery Brokerage										

Note:

- Second leg – if squared off on the same day
- SEBI Turnover Fees, CTT, Goods & Service Tax (GST), Stamp Duty, Transaction Charges and other statutory charges will be levied separately from brokerage as applicable from time to time.
- Delivery related charges i.e. Delivery Charges, Warehouse Charges, Vault Charges etc. will be levied separately as per guidelines.
- All Charges levied by Exchange(s) / Regulator(s) will be recovered from your account as applicable.
- In addition to above, Charges levied on account of Cheque Return, Wrong Reporting of Cheque, Issue of Duplicate Statement, Interest Charges etc. may be recovered from your account as applicable.
- Additional charges with regards to software access, etc. will be applicable as per the terms agreed at the relevant point in the time
- Any change to above shall be intimated separately.

Sole/First Authorized Signatory

Second Authorized Signatory

Third Authorized Signatory

Nomination Form for Demat Accounts and Mutual Fund (MF) Folios

I / We hereby nominate the following person(s) who shall receive all the assets held in my / our account / folio in the event of my / our demise, as trustee and on behalf of my / our legal heir(s) *

Nomination Details

	Mandatory Details						Additional Details ****	
	Name of nominee	Share of nominee (%) **	Relationship	Postal Address	Mobile number & E-mail	Identity Number ***	D.o.B. of nominee	Guardian
Nominee 1	....			....	....			
Nominee 2	....			....	....			
Nominee 3								
Nominee 4								
Nominee 5								
Nominee 6								
Nominee 7								
Nominee 8								
Nominee 9								
Nominee 10								

JOINT ACCOUNTS:

Event	Transmission of Account
Demise of one or more joint holder(s)	Surviving holder(s) through name deletion The surviving holder(s) shall inherit the assets as owners
Demise of all joint holders simultaneously – having nominee	Nominee
Demise of all joint holders simultaneously – not having nominee	Legal heir(s) of the youngest holder

** If % is not specified, then the assets shall be distributed equally amongst all the nominees. Any odd lot after division / fraction of%, shall be transferred to the first nominee mentioned in the nomination form. (see table in 'Transmission aspects').

*** Provide only number: PAN or Driving Licence or Aadhaar (last 4). Copy of the document is not required. However, in caseof NRI / OCI / PIO, Passport number is acceptable.

**** to be furnished only in following conditions/ circumstances:

- Date of Birth (DoB): please provide, only if the nominee is minor.
- Guardian: It is optional for you to provide, if the nominee is minor.

1) I / We want the details of my/ our nominee to be printed in the statement of holding or statement of account, provided to me/ us by the AMC/ DP as follows; (please tick, as appropriate)

☐ Name of nominee(s) ☐ Nomination: Yes/ No

2) I hereby authorize _____ (nominee number _____) to operate my account on my behalf, in case of my incapacitation in terms of paragraph 3.5 of the circular No. SEBI/HO/OIAE/OIAE_IAD-3/P/ON/2025/01650. He/She is authorized to encash my assets up to_____% of assets in the account / folio or Rs. _____. (**Optional**) (strike off portions that are not relevant)

3) This nomination shall supersede any prior nomination made by me / us, if any.

4) Signature(s) - As per the mode of holding in demat account(s) / MF folio(s)

Name(s) of holder(s)		Signature(s) of holder / thumb impression	Signature of two witnesses*	Name of Witness & Address (wherever applicable) *
Sole/First Holder (Mr./Ms.)				
Second Holder (Mr./Ms.)				
Third Holder (Mr./Ms.)				

* Signature of two witness(es), along with name and address are required, if the account holder affixes thumb impression, instead of wet signature.

Rights, Entitlement and Obligation of the investor and nominee:

- If you are opening a new demat account / MF folios, you have to provide nomination. Otherwise, you have to follow procedure as per 3.10 of this circular No. SEBI/HO/OIAE/OIAE_IAD-3/P/ON/2025/01650.
- You can make nomination or change nominee any number of times without any restriction.
- You are entitiled to receive acknowledgement from the AMC/ DP for each instance of providing or changing nomination.
- Upon demise of the investor, the nominees shall have the option to either continue as joint holders with other nominees or for each nominee(s) to open separate single account I folio.
- In case all your nominees do not claim the assets from the AMC I DP, then the residual unclaimed asset shall continue to be with the AMC in case of MF units and with the concerned Depository in case of Demat account.
- You have the option to designate any one of your nominees to operate your account/ folio, in case of your physical incapacitation, at any point of time and not just during opening of account/ folio. This mandate can be changed any time you choose.
- The signatories for this nomination form shall be as per mode of holding in the folio(s) / demat account(s) i.e.

    - 'Either or Survivor' Folios / Accounts - any one of the holder can sign
    - 'First holder' Folios/ Accounts - only First holder can sign
    - 'Jointly' Folios / Accounts - all holders have to sign

Transmission aspects

- AMCs / DPs shall transmit the folio/ account to the nominee(s) upon receipt of 1) copy of death certificate and 2) completion I updation of KYC of the nominee(s). The nomimee is not required to provide affidavits, indemnitites, undertakings, attestations or notarization.
- In case of a joint account / folio, for transmission to the surviving joint holder(s) by name deletion, the surviving joint holder(s) shall have the option to update residential address(es), mobile number(s), email address(es), bank account detail(s), annual income and nominee(s), either along with transmission or at a later date. The regulated entity cannot seek KYC documents at the time of transmission, unless it was sought earlier but not provided by the holder.
- Nominee(s) shall extend all possible co-operation to transfer the assets to the legal heir(s) of the deceased investor. In this regard, no dispute shall lie against the AMC/ DP.
- In case of multiple nomineees, the assets shall be distributed pro-rata to the surviving nominees, as illustrated below.

% Share as specified by investor at the time of nomination		**% assets to be apportioned to surviving nominees upon demise of investor and nominee 'A'**			
Nominee	**% share**	**Nominee**	**% initial share**	**% of A's share to be apportioned**	**Total % share**
A	60%	A	0	0	0
B	30%	B	30%	45%	75%
C	10%	C	10%	15%	25%
Total	100%	-	40%	60%	100%

	First/Sole Holder	**Second Holder**	**Third Holder**
Name			
Signature			

DEMAT TARIFF SHEET

Services		Scheme			
		☐ Life Time	☐ Normal	☐ Corporate	☐ BSDA
Deposit		-	-	-	-
One time Maintenance Charges		850	-	-	-
Annual Maintenance Charges		NIL	300	1000	As per BSDA circular of SEBI (MENTIONED BELOW)
Receipt (Market and off Market)					
Delivery (Debit) Per Instruction	To MFPL Pool with Auto Payin	15	12	12	12
	To MFPL Pool without Auto Payin	15	15	15	15
	To other Pool & Off Market	25	25	25	25
Pledge creation, closure & invocation		25 per Request	25 per Request	25 per Request	25 per Request
Margin Pledge / unpledge		12 per Request	12 per Request	12 per Request	12 per Request
Creation of Auto Pledge/Unpledge in favour of CUSPA & Invocation/Confiscation of pledge by pledgee.		12 per Request	12 per Request	12 per Request	12 per Request
Dematerialization / Rematerialization		10 Per Certificate + 50 Postage	10 Per Certificate + 50 Postage	10 Per Certificate + 50 Postage	10 Per Certificate + 50 Postage
Inter-Scheme Transfer Charges *(Per time scheme change)*		1000	1000	1000	1000
POA/DDPI Charges		300	300	300	300
KRA Charges		As Actual	As Actual	As Actual	As Actual

☐ We do not wish to opt BSDA Scheme ☐ We wish to opt BSDA Scheme

BSDA*: 1) First/Sole holder does not have / propose to have any other Demat Account across Depositories.
2) Individuals having any other demat account/s where they are not the first holder shall be eligible for BSDA in respect of the single demat account where they are sole or first holder.
3) For holdings,
- up to ₹ 4 lakhs, there are no AMC (NIL).
- Exceeds ₹ 4 lakhs but is up to ₹ 10 lakhs, an AMC of ₹ 100 is applicable.
- Exceeds ₹ 10 lakhs, the account is no longer considered a BSDA, and regular AMC may be levied.

1. The aforementioned charges are subject to change at the sole discretion of Miracles Fin-Tech Private Limited, with a 30-days prior intimation to the client.
2. Annual maintenance charges are levied upfront for a period of one year at the beginning of the period.
3. GST will be charged separately.
4. Stamp duty will be levied at actual, as applicable.
5. All charges (except AMC) will be payable / daily basis charges quoted above are for the services listed. Any services not quoted above will be charged separately.
6. All documents like holdings, transactions, ledger statement etc. shall be electronically mailed to the e-mail ID of the client. Any copy in physical form shall be charged extra per page in addition to the postal charges.
7. All instructions for the transfer must be received at Main Office (Ahmedabad) at least 24 hours before the executions date.
8. Please note that in case we are unable to recover the service charges due to non-maintenance of adequate balances in the ledger account or inadequate advance fees, depository services for your account will be temporarily discontinued. Any request to resume the services will be charged Rs 500 /- and the services will be resumed in a minimum of three working days from the date to receipt of the request at HO (Ahmedabad).
9. The client who has been transferred from Lifetime scheme to BSDA during the year shall not be refunded one time maintenance charges.

Sole/First Authorized Signatory | Second Authorized Signatory | Third Authorized Signatory

Mandatory, if you are giving Power of Attorney (POA) as per CDSL Communique

TERMS AND CONDITIONS-CUM-REGISTRATION/MODIFICATION FROM FOR RECEIVING SMS ALERT FROM CDSL

Annexure 2.4

[SMS ALERTS WILL BE SENT BY CDSL TO BOs FOR ALL DEBITS]

Definitions:

In these Terms and Conditions the terms shall have following meaning unless indicated otherwise:

1. "Depository" means Central Depository Services (India) Limited a company incorporated in India under the Companies Act 1956 and having its registered office at 17th Floor, PJ. Towers, Dalal Street, Fort, Mumbai 400001 and all its branch offices and includes its successors and assigns.
2. 'DP' means Depository Participant of CDSL. The term covers all types of DPs who are allowed to open demat accounts for investors.
3. 'BO' means an entity that has opened a demat account with the depository. The term covers all types of demat accounts, which can be opened with a depository as specified by the depository from time to time.
4. SMS means "Short Messaging Service"
5. "Alerts" means a customized SMS sent to the BO over the said mobile phone number.
6. "Service Provider" means a cellular service provider(s) with whom the depository has entered / will be entering into an arrangement for providing the SMS alerts to the BO.
7. "Service" means the service of providing SMS alerts to the BO on best effort basis as per these terms and conditions.

Availability:

1. The service will be provided to the BO at his/her request and at the discretion of the depository. The service will be available to those account holders who have provided their mobile numbers to the depository through their DP. The services may be discontinued for a specific period / indefinite period, with or without issuing any prior notice for the purpose of security reasons or system maintenance or for such other reasons as may be warranted. The depository may also discontinue the service at any time without giving prior notice for any reason whatsoever.
2. The service is currently available to the BOS who are residing in India.
3. The alerts will be provided to the BOS only if they remain within the range of the service provider's service area or within the range forming part of the roaming network of the service provider.
4. In case of joint accounts and non-individual accounts the service will be available, only to one mobile number i.e. to the mobile number as submitted at the time of registration/modification.
5. The BO is responsible for promptly intimating to the depository in the prescribed manner any change in mobile number, or loss of handset, on which the BO wants to receive the alerts from the depository. In case of change in mobile number not intimated to the depository, the SMS alerts will continue to be sent to the last registered mobile phone number. The BO agrees to indemnify the depository for any loss or damage suffered by it on account of SMS alerts sent on such mobile number.

Receiving Alerts:

1. The depository shall send the alerts to the mobile phone number provided by the BO while registering for the service or to any such number replaced and informed by the BO from time to time. Upon such registration / change, the depository shall make every effort to update the change in mobile number within a reasonable period of time. The depository shall not be responsible for any event of delay or loss of message in this regard.
2. The BO acknowledges that the alerts will be received only if the mobile phone is in 'ON' and in a mode to receive the SMS. If the mobile phone is in 'OFF"mode i.e. unable to receive the alerts then the BO may not get / get after delay any alerts sent during such period.
3. The BO also acknowledges that the readability, accuracy and timeliness of providing the service depend on many factors including the infrastructure, connectivity of the service provider. The depository shall not be responsible for any non-delivery, delayed delivery or distortion of the alert in any way whatsoever.
4. The BO further acknowledges that the service provided to him is an additional facility provided for his convenience and is susceptible to error, omission and/ or inaccuracy. In case the BO observes any error in the information provided in the alert, the BO shall inform the depository and/ or the DP immediately in writing and the depository will make best possible efforts to rectify the error as early as possible. The BO shall not hold the depository liable for any loss, damages, etc. that may be incurred/ suffered by the BO on account of opting to avail SMS alerts facility.
5. The BO authorizes the depository to send any message such as promotional, greeting or any other message that the depository may consider appropriate, to the BO. The BO agrees to an ongoing confirmation for use of name, email address and mobile number for marketing offers between CDSL and any other entity.
6. **The BO agrees to inform the depository and DP in writing of any unauthorized debit to his BO account/ unauthorized transfer of securities from his BO account, immediately, which may come to his knowledge on receiving SMS alerts. The BO may send an email to CDSL at complaints@cdslindia.com. The BO is advised not to inform the service provider about any such unauthorized debit to/ transfer of securities from his BO account by sending a SMS back to the service provider as there is no reverse communication between the service provider and the depository.**
7. The information sent as an alert on the mobile phone number shall be deemed to have been received by the BO and the depository shall not be under any obligation to confirm the authenticity of the person(s) receiving the alert.
8. The depository will make best efforts to provide the service. The BO cannot hold the depository liable for non availability of the service in any manner whatsoever.
9. If the BO finds that the information such as mobile number etc, has been changed without proper authorization, the BO should immediately inform the DP in writing.

Fees:
Depository reserves the right to charge such fees from time to time as it deems fit for providing this service to the BO.

Disclaimer:
The depository shall make reasonable efforts to ensure that the BO's personal information is kept confidential. The depository does not warranty the confidentiality or security of the SMS alerts transmitted through a service provider. Further, the depository makes no warranty or representation of any kind in relation to the system and the network or their function or their performance or for any loss or damage whenever and howsoever suffered or incurred by the BO or by any person resulting from or in connection with availing of SMS alerts facility. The Depository gives no warranty with respect to the quality of the service provided by the service provider. The Depository will not be liable for any unauthorized use or access to the information and/ or SMS alert sent on the mobile phone number of the BO or for fraudulent, duplicate or erroneous use/misuse of such information by any third person.

Liability and Indemnity:
The Depository shall not be liable for any breach of confidentiality by the service provider or by any third person due to unauthorized access to the information meant for the BO. In consideration of the depository providing the service, the BO agrees to indemnify and keep safe, harmless and indemnified the depository and its officials from any damages, claims, demands, proceedings, loss, cost, charges and expenses whatsoever which a depository may at any time incur, sustain, suffer or be put to as a consequence of or arising out of interference with or misuse, improper or fraudulent use of the service by the BO.

Amendments:
The depository may amend the terms and conditions at any time with or without giving any prior notice to the BOs. Any such amendments shall be binding on the BOs who are already registered as user of this service.

Governing Law and Jurisdiction:
Providing the Service as outlined above shall be governed by the laws of India and will be subject to the exclusive jurisdiction of the courts in Mumbai.

I/We wish to avail the SMS Alerts facility provided by the depository on my/our mobile number provided in the registration form subject to the terms and conditions mentioned below. **I/We consent to CDSL providing to the service provider such information pertaining to account/transactions in my/our account as is necessary for the purposes of generating SMS Alerts by service provider, to be sent to the said mobile number.**

I/We have read and understood the terms and conditions mentioned above and agree to abide by them and any amendments thereto made by the depository from time to time. I/we further undertake to pay fee/ charges as may be levied by the depository from time to time.

I/We further understand that the SMS alerts would be sent for a maximum four ISINs at a time. If more than four debits take place, the BOs would be required to take up the matter with their DP.

I/We am/ are aware that mere acceptance of the registration form does not imply in any way that the request has been accepted by the depository for providing the service.

I/We provide the following information for the purpose of **REGISTRATION / MODIFICATION** (Please cancel out what is not applicable).

BOID ☐☐☐☐☐☐☐☐ ☐☐☐☐☐☐☐☐

(Please write your 8 digit DPID) *(Please write your 8 digit Client ID)*

Sole / First Holder's Name: _____

Second Holder's Name: _____

Third Holder's Name: _____

Mobile Number on which messages are to sent +91☐☐☐☐☐☐☐☐☐☐

(Please write only the mobile number without prefixing country code or zero)

The mobile number is registered in the name of: _____

Email ID: _____

(Please write only ONE valid email ID on which communication; if any, is to be sent)

Sole/First Authorized Signatory | Second Authorized Signatory | Third Authorized Signatory

ADDITIONAL CLAUSES AGREED BETWEEN STOCK BROKER AND CLIENT FOR SMOOTH OPERATIONS AND COMPLIANCE (VOLUNTARY DOCUMENTS)

I, voluntarily and unconditionally hereby state and declare that I/We have read and understood the terms and conditions mentioned hereinafter governing securities trading and broking services of Member - Miracles Fin-tech Private Limited (here in after referred to as MFPL) and agree to be bound by the same.

1) Internet Based Trading Services: E-Broking Services, Wireless Securities Trading & Dial & Trade Services

The CLIENT is aware that authentication technologies and strict security measures are required for the internet trading through order routed system and undertakes to ensure that the password of the CLIENT and/or his authorised representative are not revealed to any third party. The CLIENT agrees that the STOCK BROKER / TRADING MEMBER shall not be liable or responsible for non-execution of the orders of the CLIENT due to any link/system failure at the CLIENT / STOCK BROKERS / TRADING MEMBERS / EXCHANGE end.

2)Electronic Payment Gateway for Net Banking Services: Electronic Payment Gateways provided by various banks for facilitating transfer of funds from Client's bank account to the account of the Client with MFPL. Client understands that MFPL is only providing access to the electronic fund transfer facility provided by the banker of the Client through MFPL's web-site by means of an interface and is not liable or responsible for the proper functioning or otherwise of the Gateway or for any transaction errors, losses, malfunctioning or hacking of the system by unscrupulous elements, frauds, and/or any incidental or consequential claims arising there out. Client un-dertakes not to make MFPL a party to any litigation, claim, dispute, difference or complaint that the Client may initiate in respect of, arising out of or in connection with any transactions on the Gateway and agrees that MFPL's liability shall at all-time be limited to the amount actually received in its account by electronic transfer from Client's account with the Bank. The MFPL expressly excludes liability for consequential loss or damage or loss of profit, business, revenue, goodwill or anticipated saving which may arise in respect of (i) the payment gateway services offered by such bank (ii) the payment Mechanism

3) PMLA Declaration

I declare that I have read and understood the contents and the provisions of the PMLA Act, 2002, which were also explained to me by MFPL officials. I further declare that I shall adhere to all the provisions of PMLA Act, 2002. I further undertake and confirm that, I do not have any links with any known criminal. I am a genuine person and not involved or indulge knowingly or assisted, directly or indirectly, in any process or activity connected with the proceeds of crime nor I am a party to it. The investment money is derived from proper means and does not involve any black or Hawala money in any manner. I am not a party to any agreement or arrangement to facilitate any segment of my transaction with MFPL.

4) Order Placement Instructions

I understand that you require written instructions from me for placing / modifying/cancelling orders. However, since it is not practical for me to give written instructions for placing /modifying/cancelling order. Even If I have facility to trade online through Internet and wireless technology, I may have to place orders by physically visiting /calling/ emailing the Call centre/ branch specified for the said purpose MFPL in case of breakdown of internet connectivity or other similar reasons. I hereby request you to kindly accept my or my authorized representative or mandate holder's verbal orders/instructions, in person or over phone and execute the same. I understand the risk associated with placement of verbal orders and accept the same. I shall not disown orders under the plea that the same were not placed by me provided I am sent ECN/Physical contract notes or trade confirmations through SMS and other modes. I indemnify MFPL and its employees against all losses, damages, actions which you may suffer or face, as a consequence of adhering to and carrying out my instructions for orders placed verbally.

5) Errors and Omissions

I understand and agree that inadvertent errors may occur, while executing orders placed by me. In such circumstances MFPL shall make all reasonable efforts to rectify the same and ensure that I am not put to any monetary loss. I understand and agree that I shall not hold MFPL responsible beyond this and claim additional damages/losses.I understand and agree that my request to modify or cancel the order shall not be deemed to have been executed unless and until the same is confirmed by MFPL. Extra Ordinary events and termination/suspension of trading facility. MFPL will not be liable for losses caused directly or indirectly by government restriction, exchange rulings, suspension of trading, computer, communication, telephone or system failure, war, earthquakes, flood, accident, power failure, equipment or software malfunction, lack of connectivity, congestion or disruption of communication net- work or links, software glitches or corruption, low processing speed, strikes or any other conditions beyond MFPL's control resulting in non-execution, partial or incomplete execution of orders and the resulting financial loss, if any MFPL may at any time terminate, discontinue or temporarily suspend trading facility provided to the Client in the event of any such extraordinary event occurring without giving prior notice to the Client. Any loss or damage arising from or occasioned by (i) Any such inaccuracy, error, delay or omission, (ii) Non-performance, or (iii) Interruption in making available any such data, information or message, due to either any act or omission by MFPL or any disseminating party or to any "force majeure" (e.g, flood, extraordinary weather condition, earthquake or other act of nature, fire, war, insurrection, riot, labour dispute/unrest, accident, action of government, communications or power failure, equipment or software malfunction) or any other cause beyond the reasonable control of MFPL or any disseminating party.

6) Non-execution/delay/cancellation of Orders:

The client hereby agrees that MFPL or the Exchanges shall not be liable for non execution or partial execution of any orders caused due to suspension, interruption, or malfunctioning of the trading services, disruptions or congestion of communication networks, hardware or software problems, or failure of the electronic trading system generally in any manner due to one or the other reasons beyond the control of MFPL or the Exchange.

7) Client not to act on representations of agents, employees:

Client is aware that MFPL has not authorized any agents, representatives, employees or other persons to make any representation, or to give any promise, assurance, warranty, undertaking or commitment as to return on investment of the Client whether in writing or otherwise on behalf of MFPL.

8) Indemnification:

I hereby indemnify and hold MFPL, its directors and employees harmless from and against all claims, demands, actions, proceedings, losses, damages, liabilities, charges and/or expenses that are occasioned or may be occasioned to the MFPL directly or indirectly, relating to bad delivery of shares/ securities and/ or third party delivery, whether authorized or unauthorized and fake/forged/stolen shares/ securities/transfer documents introduced or that may be introduced by or through me during the course of my dealings/ operations on the Exchange(s) and / or proof of address, identity and other supporting / documents identity and other supporting/ documents provided by me at the time of registration and/ or subsequently.

9) Indemnity of Joint Holdings:

I hereby agree to indemnify and hold the MFPL harmless from any claims, demands, actions, proceedings, losses, damages, liabilities, charges, and/or expenses arising from transactions in securities held jointly by me with any other person or persons, if any.

10) Mutual Fund Service System (MFSS) Facility:

I am interested in availing the MFSS facility of the Exchange for the purpose of dealing in the units of Mutual Funds Schemes permitted to be dealt with on the MFSS of the Exchange. For the purpose of availing the MFSS facility, I state that "Know Your Client" details as submitted by me for the opening of Trading Account may be considered for the purpose of MFSS and I/we further confirm that the details contained in same remain unchanged as on date. I am willing to abide by the terms and conditions as has been specified and as may be specified by the Exchange from time to time in this regard. I shall ensure also compliance with the requirements as may be specified from time to time by Securities and Exchange Board of India and Association of Mutual Funds of India (AMFI). I shall read and understand the contents of the Scheme Information Document and Key Information Memorandum, addenda issued regarding each Mutual Fund Schemes with respect to which I choose to sub- scribe/ redeem. I further agree to abide by the terms and conditions, rules and regulations of the re- spective Mutual Fund Schemes subscribed by me.

11) NRI Declaration:

I understand that if the sole/first applicant has or attains NRI status, investments in scheme of mutual funds can be made only upon providing Foreign Inward Remittance Certificate (FIRC) to MFPL every time the investment is made. Further, I/We undertake to update any status change and shall abide by FEMA, RBI and SEBI guidelines with regard to NRI investment in India.

12) Third-Party Payments:

MFPL shall have the prerogative to refuse payments received from any bank account where the client is not the first holder or which is not mentioned in the KYC or which the client has not got updated subsequently by submitting a written request along-with adequate proof thereof as per proforma prescribed by MFPL shall not be responsible for any loss or damage arising out of such refusal of acceptance of payments in the situations mentioned above.

However, due to oversight, if any such third-party payment has been accepted by MFPL and the credit for the same has been given in the client's ledger and P&L shall have the right to immediately reverse such credit entries on noticing or becoming aware of the same. In such a case MFPL reserves the right to liquidate any of the open positions and/or any of the collaterals received/ held on behalf of the client MFPL, its directors and employees shall not be responsible for any consequential damages or losses.

13) No Dealings In Cash:

MFPL as a policy neither accepts any funds for payin/ margin in cash nor makes any payment or allows withdrawal of funds in cash. No claim will be entertained where the client states to have made any cash payment or deposited cash with any Branch/ SubBroker/ Remisier/ Employee/Authorised Person of MFPL.

14) No Market Manipulation:

I undertake not to execute transactions, either singly or in concert, with other clients, which may be viewed as manipulative trades viz. artificially raising, depressing or maintaining the price, creation of artificial volume, synchronized trades, cross trades, self-trades, etc. or which could be termed as manipulative or fraudulent trades by SEBI/Exchanges. In case I am found to be indulging in such activities, MFPL has every right to inform the Exchange/SEBI/other regulatory authority of the same and suspend/close my trading account.

15) Authorization to debit additional charges with regard to Trading and Demat Account:

Without prejudice to the other rights and obligations of the parties, the client understands and agrees that MFPL may levy charges including Annual Maintenance Charges and all transaction charges with respect to clients demat account for any service rendered by MFPL and as may be required by the client, and recover from the client all reasonable costs, as may be incidental or consequential for rendering the said services. The said charges will be debited to the clients' trading ledger account maintained with MFPL for the demat charges payable to MFPL as depository for providing depository services.

16) Authorization for Inter Segment/Inter Exchange Fund Balance Transfer:

The client hereby authorize MFPL to transfer fund/ pay out resulting on account of sale of shares/contract/or margin refunds from NSE/BSE/MSE and adjust the same towards debit balances in any segment of NSE/BSE/MSE Further, I/we hereby authorise to consider credit available in one segment/ exchange towards margin / settlement obligation in another exchange/segment with or without passing journal entries.

17) Deliveries:

The client shall ensure that the shares are properly transferred to the designated demat account of MFPL for effecting delivery to the Exchange against the sale position of the client. Such transfers shall be entered by the client within the time specified by SEBI Exchanges/ MFPL. In case the client fails to transfer the shares on time to MFPL, MFPL shall not be responsible for any loss/damages arising out of such delayed transfers.

18) Proprietary Trading:

The CLIENT is aware that MFPL is doing proprietary trading along with client business.

19) Portfolio Management:

Further any investment views given by the Trading member are market views only. Reacting on the same will not render member liable for the same. All risk will be of client only, Members do not intend to manage the portfolio of client.

20) Close Out:

The client hereby agrees that if he/she/it default in daily margin, MTM's or any outstanding debt occurs in their/our account, MFPL is irrevocably authorize to close out/liquidate whole or any part of their/our position without prejudice to their right to refer the matter to arbitration. Any and all losses and financial charges on account of such liquidation/closing out etc. shall be charged to and borne by client.

21)Commodity Transaction Undertaking & Confirmation

I/We wish to opt to deal in Commodity Option as per trading preference selected in the KYC herein and I/We shall abide by the rules and regulation of Exchange and SEBI in this regard, which may vary from time to time and I/we hereby confirm that we have read and understood risk disclosure document of commodity options and are fully aware of commodity option holders and writers. I/We have taken cognizance of circulars issued by Regulator/Commodity Exchanges from time to time on the guidelines for calculation of net open positions permitted in any commodity and I/we hereby undertake to comply with the same. I/We hereby declare and undertake that I/we will not exceed the position limits prescribed from time to time by Commodity Exchanges or Regulator and such position limits will be calculated in accordance with the circulars on position limits as modified from time to time. I/ We confirm that you have agreed to enter order in commodity forward contracts/commodity derivatives for me / us as your clients on Commodity Exchanges only on the basis of our above assurances and undertaking. I/We further undertake to bear any liable / penalty / charges levied by Commodity Exchanges / Regulator. I/We propose to undertake high value transactions (i.e., buy and sell trades for value exceeding Rs. 5,00,000/- or such other sum as may be prescribed by Regulator / MCX / NCDEX or any other authority from time to time) in a day on MCX / NCDEX through you as my/our commodity broker. By this one time declaration, please note that the said transaction(s) would be for and on my/our behalf and entirely for my/our profit or loss only. I/We also declare that the transactions would not be carried out for any unauthorized/unregistered authorized person or for and on behalf of any other person / entity. I/we confirm that transactions related to sale, purchase and or dealing in securities/commodities by me/us are for the purpose of investment of my/our own money and/or dealing in market for own interests. I/we have read and understood the Anti-Money Laundering Guidelines and confirm that funds and securities/commodities used by me for settlement or transaction are assets earned by me through legal means in my/our own capacity and are not assets qualified under PMLA.

22) Investment and Other Advice

I understand and agree that MFPL does not give any guarantee or assurance as to returns or profits or capital protection or appreciation. I further understand and agree that past performance is not necessarily a guide to future performance, 1/we hereby acknowledges that MFPL shall not be liable to provide him with any legal, tax, investment, accounting advice or advice related to suitability or profitability of a security or investment.

I/We understand and agree that employees and authorised person of MFPL are not authorised to give any investment or other advice and I/we will not solicit or rely upon any such advice from the MFPL, its employees and authorised person. In case, 1/we have relied upon any such information, it is solely at the risk and cost of mine/ours and MFPL or its employees or authorised person shall not be liable or responsible for the same.

23) Other Confirmations and Undertaking:

A) I/We authorise you to send SMS, and email to registered email/ mobile no. in respect of my trading and demat account. In case of electronic delivery, I/we agree that MFPL will not cognizance of any "out-of-office/out of station" auto replies and I/we shall be deemed to have received such electronic mails. I/we shall immediately inform MFPL about change in my email address, if any. B) I/We hereby provide my/our consent in accordance with Aadhaar Act, 2016 and regulations made thereunder, for (i) collecting, storing and usage (ii) validating/ authenticating and (ii) updating my/our Aadhaar number(s) in accordance with the Aadhaar Act, 2016 (and regulations made thereunder). I/We hereby agree to carry out online KYC for opening or maintenance of my trading & demat account and hereby give consent to MFPL to share my details and records with Digilocker, for enabling retrieval of Official Valid Documents from Digilocker system, as required for online KYC.

24) Running Account Authorisation:

I am aware that as per the SEBI / Exchange requirements, the settlement of funds/securities is to be done within one working day of the pay-out. I am also aware and understand that it is difficult to manage repeated payments/delivery with respect to all secondary market transactions. Also, I desire to use my securities and money as margin / collateral without which I cannot deal / trade. Therefore, I hereby request and authorize you to maintain my account as a running account(s) which will entail that funds due to us on pay-put shall be withheld with yourselves beyond the stipulated deadlines and given to us only on the specific request. You shall transfer the funds lying in my credit within one working day of my request if the same are lying with you and within three working days from the request if the same are lying with the Clearing Member/ Clearing Corporation. Notwithstanding anything contained in this authorization, the actual settlement of funds, except for funds received from the clients towards collaterals/margin in the form of bank guarantee (BG)/Fixed Deposit receipts (FDR), at least once in a ☐ **Month** ☐ **Quarter** as allowed by Exchange and SEBI from time to time. In case I have an outstanding margin/settlement obligation on the settlement date, you may retain the requisite funds towards such obligations and may also retain the funds expected to be required to meet margin obligations for next 5 trading days, calculated in the manner as per the applicable guidelines prescribed by the Exchanges, I acknowledge that I can revoke the above mentioned running account authority at any time by sending a written signed instruction through registered post (RPAD). I confirm you that I will bring to your notice any dispute arising from the statement of account or settlement so made in writing preferably within 7 working days from the date of receipt of funds/ securities or statement of account or statement related to it, as the case may be in writing at your registered office. Any clause which is not in conformity with SEBI and Exchange circular on settlement of fund shall stand amended/ modified to that extent. There shall be no inter-client adjustments for the purpose of settlement of the 'running account.

I am / we are understand and aware that the aforesaid consents are purely voluntary and have been given to you for smoother operations of my / our client account with you as our broker. Further, these standing instructions are valid from the date the client / trading account is opened with you and will be valid and operational until revoked by me /us by giving notice in writing to your compliance officer only. Any entries / transactions and acts, deeds, things etc, carried out by broker in accordance with this authorization shall be binding on me/us.

Sole/First Authorized Signatory | Second Authorized Signatory | Third Authorized Signatory

DEMAT DEBIT PLEDGE INSTRUCTION

The non-judicial stamp paper of Rs. 300/- having certificate no. _____ dated _____ forms part and parcel of this DDPI executed between Miracles Fin-tech Private Limited and _____

To all whom these presents shall come I/We Mr./Mrs./M/s _____ (First Holder) _____ (Second Holder) _____ (Third Holder) an individual/a sole proprietary concern/a partnership firm/a body corporate/trust, registered/incorporated, under the provisions of the Indian Partnership Act, 1932/the Companies Act 1956, or any relevant Act, having my/our residence/registered office/ place of business at _____ send greetings.

Whereas I/We hold a Beneficiary Account no. 12099500 _____ (BO-ID) with Central Depository Services (India) Limited (CDSL) through Depository Participant MIRACLES FIN-TECH PRIVATE LIMITED bearing DP ID-12099500. Whereas I am an investor engaged in buying and selling of securities through MIRACLES FIN-TECH PRIVATE LIMITED (a member) of National Stock Exchange of India Limited, Multi Commodity Exchange of India Limited, Bombay Stock Exchange Limited; bearing SEBI registration No. INZ000313434. Further due to exigency and paucity of time, I / We am / are desirous of giving my / our consent for Demat Debit and Pledge Instruction (DDPI) to operate the aforesaid beneficiary account on my / our behalf for a limited purpose in the manner hereinafter appearing.

I/We further agree and confirm that the consent given by me / us by this DDPI shall continue until it is revoked (without notice) in writing by me/us and that the said revocation shall be effective from the date on which the revocation notice is received by the stock & commodity broker in his office at 502, Puniska House, Next to One 42, Opp. Jayantilal Park BRTS Bus Stop, Ambali Road, Bodakdev, Ahemdabad, Gujarat, India 380056 and/or Office No. 502, 5th Floor, Puniska House, Near Ashok Vatika, Ambali-Bopal Road, Bodakdev, Ahmedabad – 380054, Gujarat.

Sr. No.	Purpose	Signature of First Authorised Signatory*	Signature of Second Authorised Signatory*	Signature of Third Authorised Signatory*
1	Transfer of securities held in the beneficial owner accounts of the client towards Stock Exchange related deliveries / settlement obligations arising out of trades executed by clients on the Stock Exchange through the same stock broker.			
2	Pledging / re-pledging of securities in favour of trading member(TM) / clearing member(CM) for the purpose of meeting margin requirements of the clients in connection with the trades executed by the clients on the Stock Exchange.			
3	Mutual Fund transactions being executed on stock exchange order entry platforms.			
4	Tendering shares in open offers through Stock Exchange platforms			

I/We hereby authorize to transfer the securities from the aforesaid account to the below mentioned accounts for the purpose specified herein in DDPI.

Sr. No.	DP NAME	DP ID	BO ID	Description of Demat Account
1	Miracles Fin-Tech Private Limited	12099500	00000051	CDSL BSE CM Pool Account
2	Miracles Fin-Tech Private Limited	12099500	00000064	TM/CM-Client Unpaid Securities Pledgee Account
3	Miracles Fin-Tech Private Limited	12099500	00000026	TM/CM-Client Securities Margin Pledge Account
4	Miracles Fin-Tech Private Limited	12099500	00000045	CDSL NSE CM Pool Account
5	Miracles Fin-Tech Private Limited	11000011	00022562	NSE CM Early pay-in Account
6	Goldmine Stocks Private Limited	IN301645	10725068	NSDL CM Pool Account
7	Goldmine Stocks Private Limited	IN301645	10741233	NSDL TM/CM-Client Unpaid Securities Pledgee Account

We hereby confirm having accepted the aforesaid instructions.
*The same may be eSigned or signed physically.

Sole/First Authorized Signatory

Second Authorized Signatory

Third Authorized Signatory

Miracles Fin-Tech Private Limited

Director / Authorise Signatory

DECLARATION OF HINDU UNDIVIDED FAMILY

(Incase of HUF)

Date: D D M M Y Y Y Y

To,
Miracles Fin-Tech Private Limited
Office No. 502, 5th Floor, Puniska House,
Near Ashok Vatika, Ambali-Bopal Road,
Bodakdev, Ahmedabad – 380054, Gujarat.

Dear Sir/Ma'm,

1. WHEREAS the Hindu Undivided Family Of _____ Name of Karta _____ (hereinafter referred to as the said joint family) caring on business in the firm name and style of _____ Name of HUF _____ at _____ Address _____ or else where (hereinafter referred to as the said HUF) have or desired to the Demat Account / Trading Account with Miracles Fin-Tech Private Limited (hereinafter referred to Member) we the undersigned hereby declares.
   a. That we are the present adult co-parceners of the said joint family.
   b. That, Shri _____ Name of Karta _____ is the present karta or manager of the said joint family.
   c. That we are entitled to open Demat Account / Trading Account of the said joint family.
   d. That each one of us has full and unrestricted authority to act on behalf and bind the said HUF and all the present as well as future member both adults and minors of the said joint family howsoever constituted from time to time.

2. We confirm that the affairs of the said joint family and the business of the said HUF and carried on mainly by Karta / Manager they said Shri _____ Name of Karta _____ on behalf and in the interest and for the co-parcener of said joint family and the same is binding to us.

Details of our HUF and all of its co-parceners are started as under.

We all members (family members / co-parceners) as listed below state that the list of surviving members is complete and exhaustive and does not leave out any members of the HUF. Further, we confirm that the list provided is correct in all respect and also the information provided herein is complete and correct in all respect. All the members of the HUF are fully perceptive of the request made to the participant and also there is no pending dispute or claim for the same among the members of HUF.

Sr. No.	Name of HUF Member	Date of Birth	PAN	Relation *(With Karta)*	Member's Address, Mobile & Email ID	Signature
1						
2						
3						
4						
5						

I hereby, state that details mentioned as above are true and any change in them would be intimated to you in writing.

Yours truly,

[Signature & Stamp of HUF]

(if there are more than 6 members, please provide details of all members on a separate letterhead of HUF, duly certified by KARTA along with rubber stamp of HUF)

*PAN Mandatory. PAN is Optional Only Incase of Minor co-parceners.
In case Family Member / Co-Parcener(s) is Minor in such case guardian can sign with remark Guardian of _____.

FATCA & CRS DECLARATION

(Please consult your professional tax advisor for further guidance on FATCA & CRS classification)

TAX RESIDENCE DECLARATION *(tick any one , as applicable)*

☐ Entity is a tax resident of India and not resident of any other country **OR**
☐ Entity is a tax resident of the country/ies mentioned in the table below

Please indicate ALL the countries in which you are a resident for tax purposes and the associated Tax ID No. below

COUNTRY	TAX IDENTIFICATION NUMBER*	IDENTIFICATION TYPE (TIN or OTHER* , please specify)

* In case Tax Identification Number is not available, kindly provide functional equivalents**
** It is mandatory to supply a TIN or functional equivalent if the country in which you are tax resident issues such identifiers.
If no TIN is yet available or has not yet been issued, please provide an explanation & attach this to the form

In case the Entity's Country of Incorporation/Tax residence is U.S. but Entity is not a Specified U.S. Person, mention Entity's exemption code here: _____ **[Refer 3(viii) of Part D]**

PART A *(to be filled by Financial Institution or Direct Reporting NFEs)*

☐ **Entity is a Financial Institution** [1] **OR** ☐ **Direct Reporting NFE** [2]	**GIIN**	**NAME OF SPONSORING ENTITY**
	Note: If you do not have a GIIN but you are sponsored by another entity, please provide your sponsor's GIIN above and indicate your sponsor's name above.	

In case GIIN not available, please tick any one below (as applicable) (options available only for Financial Institutions)
☐ **Applied for**
☐ **Not required to apply for** *(Please specify sub-category* [3] _____*) Please provide with Form W8-BEN-E, duly filled in*
☐ **Not obtained - Non-participating FI**

**If the entity is a FI and a tax resident outside India, please fill the below:*

Are you from CRS Jurisdiction	☐ YES	☐ NO	*(If **No**, please answer the next question)*
Please refer to List of Signatories to CRS @http://www.oecd.org/tax/automatic-exchange/international-framework-for-the-crs/)			
Are you an Investment Entity (Refer 1 (iii) of Part D)	☐ YES	☐ NO	*(If **No**, please answer the next question)*

Is the entity managed by another entity that is a depository institution, a custodial institution, a specified insurance company, or an investment entity and the gross income of the entity is primarily attributable to investing, re-investing, or trading in financial assets
☐ YES ☐ NO (If **Yes**, please additionally fill **Part C**)

PART B *(to be filled by NFEs other than Dired Reporting NFEs; please fill any one as appropriate)*

☐ **Publicly traded company** [4] *(i.e. a company whose shares are regularly traded on an established securities market)*	☐ **Related entity of a publicly traded company** [5] ☐ Subsidiary ☐ Controlled
Name of the stock exchange *(Please specify any one stock exchange on which the stock is traded)*	**Name of such publicly traded company**
	Name of the stock exchange (any one)

☐ **Active NFE** [6]		☐ **Passive NFE** [7]	
Sub-categary ***(Refer 2c of Part D)***		Nature of Business	
Nature of Business			

[1] Refer 1 of FATCA - Instructions & Definitions (available on www.miraclesfintech.com)
[2] Refer 3(vii) of FATCA - Instructions & Definitions (available on www.miraclesfintech.com)
[3] Refer 1 A. of FATCA - Instructions & Definitions (available on www.miraclesfintech.com)
[4] Refer 2a of FATCA - Instructions & Definitions (available on www.miraclesfintech.com)
[5] Refer 2b of FATCA - Instructions & Definitions (available on www.miraclesfintech.com)
[6] Refer 2c of FATCA - Instructions & Definitions (available on www.miraclesfintech.com)
[7] Refer 3(ii) of FATCA - Instructions & Definitions (available on www.miraclesfintech.com)

PART C *(to be filled only by Passive NFEs)*

Please list below the details of each controlling person(s), confirming ALL countries of tax residency/ permanent residency/ citizenship and ALL Tax Identification Numbers for EACH controlling persons (Please attach additional sheets if necessary):			
Name	**Controlling Person 1**	**Controlling Person 2**	**Controlling Person 3**
Country of tax residency *			
Address *(include City State, Country & Pin code)*			
Telephone/ Mobile No. *(with ISD code)*			
TIN *(or functional equivalent for each country identified in relation to each person %)*			
Identification Type *(TIN or Other, please specify)*			
Controlling person type code[8]			
*Additional details to be filled below **ONLY** by controlling persons having tax residency/permanent residency/citizenship in any country **other** than India including green card holders:*			
	Controlling Person 1	**Controlling Person 2**	**Controlling Person 3**
Customer ID *(if allotted)*			
Gender *(Male, Female, Other)*			
City of Birth			
Country of birth			
Occupation Type *(Service, Business, Others)*			
Nationality			
PAN			
Father's Name *(if PAN not available)*			
Date of Birth			
Address type for address mentioned above *(Residence or business, Residential, Business, Registered office)*			
Identification Type *(Documents submitted as proof of identity of the individual)*[@]			
Identification Number *(Mandatory if PAN or Aadhaar number is not reported)*			
Spouse's name *(optional)*			
Aadhaar Number *(optional)*			

* To include US, where controlling person is a US citizen or green card holder
% In case Tax Identification Number is not available, kindly provide functional equivalent1
@ Permissible values are:

- Passport
- Election ID card
- PAN Card
- ID Card
- Driving License
- UIDAI Letter
- NREGA Job card
- Others

[8] Refer 3(iv) (A) of FATCA - Instructions & Definitions (available on www.miraclesfintech.com)

Sole/First Authorized Signatory

Second Authorized Signatory

Third Authorized Signatory

From: _____
Client Code: _____
DP Client Code: _____

Miracles Fin-Tech Private Limited
Office No. 502, 5th Floor, Puniska House,
Near Ashok Vatika, Ambali-Bopal Road,
Bodakdev, Ahmedabad – 380054, Gujarat.

Dear Sir/Ma'm,

Subject : Acceptance of KYC Document Booklet & Declaration for opening Trading and Depository Account

Declaration for Opening Trading (for Equity and / or Commodity) and Depository Account Along with Acceptance of KYC Document Booklet

1. I/We am/are desirous of opening the trading (for Equity and / or Commodity) and /or depository account with Miracles Fin-Tech Private Limited and I/We am in the process of executing client registration documents relating to the opening of trading and demat account.

2. I/We have furnished all the details required in the KYC form as per SEBI / Exchange / Depository requirements. I/We confirm having read/been explained and understood the contents of the KYC documents which are provided to me/us in separate booklet. The KYC document booklet includes the following :-

a) Instructions and Checklist for filling the KYC, Ckyc form and FATCA.
b) Information on Anti money Laundering & PMLA.
c) Rights and Obligations of the parties relating to Trading account (Including internetand wireless technology based trading) prescribed by SEBI and Stock.
d) Exchanges and Rights and Obligations between Beneficiary Owner and Depository Participant
e) Uniform Risk Disclosure Document (RDD) prescribed by SEBI and Stock Exchanges, including guidance note and Do's and Don'ts for clients.
f) Policies and Procedures (under paragraph 8 of SEBI Circular No : MIRSD/SECIR-19/2009 dated December 3, 2009).
g) Additional terms and conditions (for Equity and / or Commodity) - (Voluntary Document).
h) Terms And Conditions- for receiving SMS Alerts from CDSL and Transaction Using Secured Texting (TRUST).
i) General Information for both Trading and Demat account.
j) Nomination Form

3. I/We understand that the KYC document booklet is in accordance of the exchanges and/or SEBI/DP requirements applicable for opening trading/DP account.I/We understand and agree that any amendment/modifications as required by the exchanges/DP and/or regulators will be applicable to me at all point of time and changes if any in future will be intimated to me/us.

4. I/We have received the booklet with above mentioned contents. I/We also confirm having read/been explained and understood the contents of the documents on policy and procedures of the stock broker and their Terms & Conditions in the booklet.

Place: _____

Date: D D M M Y Y Y Y

Sole/First Authorized Signatory | Second Authorized Signatory | Third Authorized Signatory

Miracles Fintech

Miracles Fin-tech Private Limited

Registered & Corporate Office :

Office No. 502, 5th Floor, Puniska House, Near Ashok Vatika, Ambali-Bopal Road, Bodakdev, Ahmedabad – 380054, Gujarat.

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